

<b>AGENCY INFORMATION SECURITY PROGRAM DATA</b>				1. PERIOD COVERED				INTERAGENCY REPORT CONTROL NUMBER  <b>0230-GSA-AN</b>				
				A. FROM 1 Oct 94		B. TO 30 Sep 95						
2. DEPARTMENT, INDEPENDENT AGENCY OR ESTABLISHMENT  U.S. Department of Transportation 4. SENIOR OFFICIAL (Section 5.3, E.O. 12356) Melissa A. Spillenkothen Assistant Secretary for Administration				3. CONTACT FOR ADDITIONAL INFORMATION (Name, office and telephone no.)  Lee A. Privett Deputy Director, Office of Security (202) 366-4677								
				5. NUMBER OF ORIGINAL CLASSIFICATION AUTHORITIES								
A. TOP SECRET  0		B. SECRET  10		C. CONFIDENTIAL  3		D. TOTAL  13 ✓						
6. ADDITIONAL DECLASSIFICATION AUTHORITIES												
A. TOP SECRET  0		B. SECRET  0		C. CONFIDENTIAL  0		D. TOTAL  0						
7. CLASSIFICATION DECISIONS		ORIGINAL = 4				DERIVATIVE = 14930 Tot Comb = 14934 (c)						
		DATE OR EVENT (a) = 0		ORIGINATING AGENCY'S DETERMINATION REQUIRED (O.A.D.R.) (b) = 4								
A. TOP SECRET		0		0		272 = 272						
B. SECRET		0		3		5,269 = 5,272						
C. CONFIDENTIAL		0		1		9,389 9,390						
8. MANDATORY REVIEW REQUESTS AND APPEALS												
8. MANDATORY REVIEW REQUESTS AND APPEALS	CASES CARRIED OVER FROM PREVIOUS PERIOD (a)	NEW CASES RECEIVED (b)	DECLASSIFICATION DECISIONS (Report in cases, documents, and pages)									CASES CARRIED OVER TO NEXT PERIOD (f)
			GRANTED IN FULL (c)			GRANTED IN PART (d)			DENIED (e)			
			CASES	DOCS.	PAGES	CASES	DOCS.	PAGES	CASES	DOCS.	PAGES	
A. REQUESTS	23	9 = 32	20	20	46	2	4	8	1	5	6	9 ✓
B. APPEALS	0	1 = 1	0	0	0	0	0	0	1	5	6	0 ✓
9. SYSTEMATIC REVIEW FOR DECLASSIFICATION (In pages)												
A. REVIEWED  443				B. DECLASSIFIED  350				10. NUMBER OF FORMAL INSPECTIONS, SURVEYS, OR PROGRAM REVIEWS  259				
11. NUMBER OF INFRACTIONS INVOLVING:												
A. OVERCLASSIFICATION  1		B. UNDERCLASSIFICATION  3		C. CLASSIFICATION WITHOUT AUTHORITY  0				D. MISMARKING  14				
E. IMPROPER DESTRUCTION  6		F. UNAUTHORIZED ACCESS  3		G. IMPROPER STORAGE  73		H. IMPROPER REPRODUCTION  2		I. IMPROPER TRANSMISSION  26		J. OTHER (Elaborate under Item 12)  32		

## 12. REMARKS

Item 11J - Unable to locate documents during inventories.

**AGENCY INFORMATION  
SECURITY PROGRAM DATA**
**1. PERIOD COVERED**

A. FROM

B. TO

Oct 1, 1995

Sep 30, 1996

INTERAGENCY REPORT  
CONTROL NUMBER

0230-GSA-AN

**2. DEPARTMENT, INDEPENDENT AGENCY OR ESTABLISHMENT**

U.S. Department of Transportation

4. SENIOR OFFICIAL (Section 5.3, E.O. 12356)

Melissa J. Spillenkothen

Assistant Secretary for Administration

3. CONTACT FOR ADDITIONAL INFORMATION (Name, office and  
telephone no.)Lee A. Privett  
Deputy Director, Office of Security and  
Administrative Management  
Telephone (202) 366-4677
**5. NUMBER OF ORIGINAL CLASSIFICATION AUTHORITIES**

A. TOP SECRET

B. SECRET

C. CONFIDENTIAL

D. TOTAL

0

9

0

9

**6. ADDITIONAL DECLASSIFICATION AUTHORITIES**

A. TOP SECRET

B. SECRET

C. CONFIDENTIAL

D. TOTAL

0

0

0

0

**7. CLASSIFICATION  
DECISIONS**
**ORIGINAL**
DECLASSIFY IN  
10 YEARS OR LESS  
(a)EXEMPT FROM DECLASSIFICATION  
IN 10 YEARS OR LESS  
(b)

(c)

A. TOP SECRET

0

0

0

B. SECRET

10 ✓

0

1,326

C. CONFIDENTIAL

29 ✓ = 39

0 = 0

11,416 = 12,742

**8. MANDATORY  
REVIEW  
REQUESTS  
AND  
APPEALS**
**CASES FOR WHICH AGENCY IS RESPONSIBLE FOR FINAL DECISION**
CASES  
CARRIED  
OVER FROM  
PREVIOUS  
PERIOD  
(a)NEW  
CASES  
RECEIVED  
(b)
**DECLASSIFICATION DECISIONS  
(Report in cases, documents, and pages)**
GRANTED IN FULL  
(c)GRANTED IN PART  
(d)DENIED  
(e)CASES  
CARRIED  
OVER TO  
NEXT  
PERIOD  
(f)

CASES

OOCs

PAGES

CASES

OOCs

PAGES

CASES

OOCs

PAGES

A. REQUESTS

1

1

10

B. APPEALS

1

16

1

**9. PAGES DECLASSIFIED**

A. REVIEWED

B. DECLASSIFIED

200

**10. NUMBER OF FORMAL INSPECTIONS,  
SURVEYS, OR PROGRAM REVIEWS**

224

**11. NUMBER OF INFRACTIONS INVOLVING:**

A. OVERCLASSIFICATION

B. UNDERCLASSIFICATION

C. CLASSIFICATION WITHOUT  
AUTHORITY

D. MISMARKING

E. IMPROPER  
DESTRUCTIONF. UNAUTHORIZED  
ACCESSG. IMPROPER  
STORAGEH. IMPROPER  
REPRODUCTIONI. IMPROPER  
TRANSMISSIONJ. OTHER (Elaborate  
under item 12)
**12. REMARKS**

(IMPORTANT — Read instructions on reverse before completing this form)

INTERAGENCY REPORT  
CONTROL NUMBER  
0230-NAR-AN

# AGENCY SECURITY CLASSIFICATION MANAGEMENT PROGRAM DATA

1. FISCAL YEAR COVERED  
1997

## 2. DEPARTMENT, INDEPENDENT AGENCY OR ESTABLISHMENT

U.S. Department of Transportation

## 3. CONTACT FOR ADDITIONAL INFORMATION (Name, office and telephone no.)

Lee A. Privett, Acting Director  
Office of Security & Admin. Mgmt.  
Telephone: (202) 366-4677

## 4. SENIOR AGENCY OFFICIAL (Section 5.6, E.O. 12958)

Melissa J. Spillenkothen  
Assistant Secretary for Administration

## 5. NUMBER OF ORIGINAL CLASSIFICATION AUTHORITIES

A. TOP SECRET	B. SECRET	C. CONFIDENTIAL	D. TOTAL
0	9	0	9

## 6. NUMBER OF CLASSIFICATION DECISIONS

CLASSIFICATION LEVEL	ORIGINAL CLASSIFICATION		DERIVATIVE
	DECLASSIFY IN 10 YEARS OR LESS (a)	EXEMPT FROM DECLASSIFICATION IN 10 YEARS (b)	
A. TOP SECRET	0	0	0
B. SECRET	0	0	3,165*
C. CONFIDENTIAL	1	0	17,467*

7. MANDATORY REVIEW REQUESTS	CASES CARRIED OVER FROM THE PREVIOUS PERIOD (a)	NEW CASES RECEIVED (b)	CASES CARRIED OVER TO NEXT PERIOD (c)	DECLASSIFICATION DECISIONS (Report in pages)		
				GRANTED IN FULL (d)	GRANTED IN PART (e)	DENIED (f)
A. REQUESTS	0	2	0	2	0	0
B. APPEALS	1	0	0	1	0	0

## 8. PAGES DECLASSIFIED: AUTOMATIC DECLASSIFICATION AND SYSTEMATIC REVIEW FOR DECLASSIFICATION (Sections 3.4 and 3.5 of EO 12958)

142

## 9. INTERNAL AGENCY OVERSIGHT Number of Formal Inspections, Surveys, or Program Reviews

177

## 10. EXPLANATORY COMMENTS

(Use this space to elaborate on any section of this form. If more space is needed, use a blank sheet(s) of paper and attach to form.)

\* The increase in derivative classification is attributed to an increase in the number of classified operations in which the U.S. Coast Guard participated during FY 97.

<b>(IMPORTANT — Read instructions on reverse before completing this form)</b>		INTERAGENCY REPORT CONTROL NUMBER <b>0230-NAR-AN</b>	
<b>AGENCY SECURITY CLASSIFICATION MANAGEMENT PROGRAM DATA</b>		1. FISCAL YEAR COVERED <b>1998</b>	
2. DEPARTMENT, INDEPENDENT AGENCY OR ESTABLISHMENT  U.S. Department of Transportation		3. CONTACT FOR ADDITIONAL INFORMATION (Name, office and telephone no.) Lee A. Privett, Deputy Director Office of Security and Administrative Management  Telephone: 202 366-4689	
4. SENIOR AGENCY OFFICIAL (Section 3.3, E.O. 12958) Melissa J. Allen Assistant Secretary for Administration			
<b>5. NUMBER OF ORIGINAL CLASSIFICATION AUTHORITIES</b>			
A. TOP SECRET  0	B. SECRET  9	C. CONFIDENTIAL  0	D. TOTAL  9
<b>6. NUMBER OF CLASSIFICATION DECISIONS</b>			
CLASSIFICATION LEVEL	ORIGINAL CLASSIFICATION		DERIVATIVE
	DECLASSIFY IN 10 YEARS OR LESS (a)	EXEMPT FROM DECLASSIFICATION IN 10 YEARS (b)	
A. TOP SECRET	0	0	13
B. SECRET	0	0	2,582
C. CONFIDENTIAL	0	0	7,158
<b>7. MANDATORY REVIEW REQUESTS</b>	CASES CARRIED OVER FROM THE PREVIOUS PERIOD (a)	NEW CASES RECEIVED (b)	CASES CARRIED OVER TO NEXT PERIOD (c)
A. REQUESTS	0	0	0
B. APPEALS	0	0	0
<b>8. PAGES DECLASSIFIED: AUTOMATIC DECLASSIFICATION AND SYSTEMATIC REVIEW FOR DECLASSIFICATION</b> (Sections 3.4 and 3.5 of EO 12958)		<b>9. INTERNAL AGENCY OVERSIGHT</b> Number of Formal Inspections, Surveys, or Program Reviews	
1,100		180	
<b>10. EXPLANATORY COMMENTS</b> (Use this space to elaborate on any section of this form. If more space is needed, use a blank sheet(s) of paper and attach to form.)			
See Attached			

(IMPORTANT - Read instructions on reverse before completing this form)				INTERAGENCY REPORT CONTROL NUMBER <b>0230-NAR-AN</b>		
<b>AGENCY SECURITY CLASSIFICATION          MANAGEMENT PROGRAM DATA</b>				1. FISCAL YEAR COVERED <div style="text-align: center;">1999</div>		
2. DEPARTMENT, INDEPENDENT AGENCY OR ESTABLISHMENT <div style="text-align: center;">U.S. Department of Transportation</div>			3. CONTACT FOR ADDITIONAL INFORMATION (Name, office, and telephone no.) <div style="text-align: center;">           Richard B. Thompson            Office of Security and Administrative            Management (202) 366-4678         </div>			
4. SENIOR AGENCY OFFICIAL (Section 5.6, E.O. 12958) <div style="text-align: center;">           Melissa J. Allen            Assistant Secretary for Administration         </div>						
<b>5. NUMBER OF ORIGINAL CLASSIFICATION AUTHORITIES</b>						
A. TOP SECRET <div style="text-align: center;">0</div>	B. SECRET <div style="text-align: center;">9</div>	C. CONFIDENTIAL <div style="text-align: center;">0</div>	D. TOTAL <div style="text-align: center;">9</div>			
<b>6. NUMBER OF CLASSIFICATION DECISIONS</b>						
CLASSIFICATION LEVEL	ORIGINAL CLASSIFICATION		DERIVATIVE			
	DECLASSIFY IN 10 YEARS OR LESS  (a)	EXEMPT FROM DECLASSIFI- CATION IN 10 YEARS  (b)				
A. TOP SECRET	0	0	22			
B. SECRET	0	0	1634			
C. CONFIDENTIAL	0	0	17990			
7. MANDATORY REVIEW REQUESTS	CASES CARRIED OVER FROM THE PREVIOUS PERIOD (a)	NEW CASES RECEIVED (b)	CASES CARRIED OVER TO NEXT PERIOD (c)	DECLASSIFICATION DECISIONS (Report in pages)		
				GRANTED IN FULL (d)	GRANTED IN PART (e)	DENIED (f)
A. REQUESTS	0	0	0	0	0	0
B. APPEALS	0	0	0	0	0	0
8. PAGES DECLASSIFIED: AUTOMATIC DECLASSIFICATION AND SYSTEMATIC REVIEW FOR DECLASSIFICATION (Sections 3.4 and 3.5 of EO 12958) <div style="text-align: center;">           2 documents, 17 pages            (automatic)         </div>			9. INTERNAL AGENCY OVERSIGHT Number of Formal Inspections, Surveys, or Program Reviews <div style="text-align: center;">14</div>			
<b>10. EXPLANATORY COMMENTS</b> (Use this space to elaborate on any section of this form. If more space is needed, use a blank sheet(s) of paper and attach to						

(IMPORTANT - Read instructions on reverse before completing this form)				INTERAGENCY REPORT CONTROL NUMBER  0230-NAR-AN		
<b>AGENCY SECURITY CLASSIFICATION MANAGEMENT PROGRAM DATA</b>				1. FISCAL YEAR COVERED  2000		
2. DEPARTMENT, INDEPENDENT AGENCY OR ESTABLISHMENT  U. S. Department of Transportation			3. CONTACT FOR ADDITIONAL INFORMATION (Name, office, and telephone no.)  Richard B. Thompson Office of Security and Administrative Mgmt. 202-366-4678			
4. SENIOR AGENCY OFFICIAL (Section 5.6, E.O. 12958) Melissa J. Allen Assistant Secretary for Administration						
5. NUMBER OF ORIGINAL CLASSIFICATION AUTHORITIES						
A. TOP SECRET  0	B. SECRET  9	C. CONFIDENTIAL  0	D. TOTAL  9			
6. NUMBER OF CLASSIFICATION DECISIONS						
CLASSIFICATION LEVEL	ORIGINAL CLASSIFICATION		DERIVATIVE			
	DECLASSIFY IN 10 YEARS OR LESS (a)	EXEMPT FROM DECLASSIFI- CATION IN 10 YEARS (b)				
A. TOP SECRET	0	0	15			
B. SECRET	6	0	2641			
C. CONFIDENTIAL	1	0	5822			
7. MANDATORY REVIEW REQUESTS	CASES CARRIED OVER FROM THE PREVIOUS PERIOD (a)	NEW CASES RECEIVED (b)	CASES CARRIED OVER TO NEXT PERIOD (c)	DECLASSIFICATION DECISIONS (Report in pages)		
				GRANTED IN FULL (d)	GRANTED IN PART (e)	DENIED (f)
A. REQUESTS	0	3	0	31 pages	0	0
B. APPEALS	0	0	0	0	0	0
8. PAGES DECLASSIFIED: AUTOMATIC DECLASSIFICATION AND SYSTEMATIC REVIEW FOR DECLASSIFICATION (Sections 3.4 and 3.5 of EO 12958)  19			9. INTERNAL AGENCY OVERSIGHT Number of Formal Inspections, Surveys, or Program Reviews  20			
10. EXPLANATORY COMMENTS						
(Use this space to elaborate on any section of this form. If more space is needed, use a blank sheet(s) of paper and attach to						
Compared with previous reports, the U.S. Coast Guard had a decline in Confidential						
derivative decisions as a result of an in-depth review. A classification review by						
the Information Security Oversight Office revealed a possible duplication of derivative						
decisions in previous reports.						

(IMPORTANT - Read instructions on reverse before completing this form)				INTERAGENCY REPORT CONTROL NUMBER 0230-NAR-AN		
<b>AGENCY SECURITY CLASSIFICATION MANAGEMENT PROGRAM DATA</b>				1. FISCAL YEAR COVERED  <div style="text-align: right;">2001</div>		
2. DEPARTMENT, INDEPENDENT AGENCY OR ESTABLISHMENT  U.S. Department of Transportation			3. CONTACT FOR ADDITIONAL INFORMATION (Name, office, and telephone no.)  Richard B. Thompson Office of Security and Administrative Management 202-366-4678			
4. SENIOR AGENCY OFFICIAL (Section 5.6, E.D. 12958)  Melissa J. Allen Assistant Secretary for Administration						
<b>5. NUMBER OF ORIGINAL CLASSIFICATION AUTHORITIES</b>						
A. TOP SECRET  <div style="text-align: right;">0</div>	B. SECRET  <div style="text-align: right;">4</div>	C. CONFIDENTIAL  <div style="text-align: right;">3</div>	D. TOTAL  <div style="text-align: right;">7</div>			
<b>6. NUMBER OF CLASSIFICATION DECISIONS</b>						
CLASSIFICATION LEVEL	ORIGINAL CLASSIFICATION		DERIVATIVE			
	DECLASSIFY IN 10 YEARS OR LESS  (a)	EXEMPT FROM DECLASSIFI- CATION IN 10 YEARS  (b)				
A. TOP SECRET	0	0	4			
B. SECRET	1	1	1452			
C. CONFIDENTIAL	0	0	5452			
7. MANDATORY REVIEW REQUESTS	CASES CARRIED OVER FROM THE PREVIOUS PERIOD  (a)	NEW CASES RECEIVED  (b)	CASES CARRIED OVER TO NEXT PERIOD  (c)	DECLASSIFICATION DECISIONS (Report in pages)		
				GRANTED IN FULL  (d)	GRANTED IN PART  (e)	DENIED  (f)
A. REQUESTS	0	0	0	0	0	0
B. APPEALS	0	0	0	0	0	0
8. PAGES DECLASSIFIED: AUTOMATIC DECLASSIFICATION AND SYSTEMATIC REVIEW FOR DECLASSIFICATION (Sections 3.4 and 3.5 of ED 12958)			9. INTERNAL AGENCY OVERSIGHT Number of Formal Inspections, Surveys, or Program Reviews 21 inspections; 1 Administrative Incident Inquiry			
10. EXPLANATORY COMMENTS (Use this space to elaborate on any section of this form. If more space is needed, use a blank sheet(s) of paper and attach to						
Information is processed on the following systems: Word Processing, E-mail, messaging.						
Specific systems are as follows: Intelink, CTRlink, Sigrnet, and Anchory						

(IMPORTANT - Read instructions on reverse before completing this form)

INTERAGENCY REPORT  
CONTROL NUMBER  
0230-NAR-AN

AGENCY SECURITY CLASSIFICATION  
MANAGEMENT PROGRAM DATA

1. FISCAL YEAR COVERED

2002

2. DEPARTMENT, INDEPENDENT AGENCY OR ESTABLISHMENT

U.S. Department of Transportation

4. SENIOR AGENCY OFFICIAL (Section 5.6, E.O. 12958)

Melissa J. Allen  
Assistant Secretary for Administration

3. CONTACT FOR ADDITIONAL INFORMATION (Name, office, and telephone no.)

Richard B. Thompson  
Office of Security and Administrative Management  
202-366-4678

5. NUMBER OF ORIGINAL CLASSIFICATION AUTHORITIES

A. TOP SECRET

0

B. SECRET

10

C. CONFIDENTIAL

0

D. TOTAL

10

6. NUMBER OF CLASSIFICATION DECISIONS

CLASSIFICATION LEVEL	ORIGINAL CLASSIFICATION		DERIVATIVE
	DECLASSIFY IN 10 YEARS OR LESS	EXEMPT FROM DECLASSIFI- CATION IN 10 YEARS	
	(a)	(b)	
A. TOP SECRET	0	0	208
B. SECRET	6	1	4490
C. CONFIDENTIAL	0	0	10196

7. MANDATORY  
REVIEW  
REQUESTS

CASES  
CARRIED  
OVER FROM  
THE PREVIOUS  
PERIOD  
(a)

NEW CASES  
RECEIVED  
(b)

CASES  
CARRIED  
OVER TO  
NEXT  
PERIOD  
(c)

DECLASSIFICATION DECISIONS  
(Report in pages)

GRANTED IN  
FULL  
(d)

GRANTED IN  
PART  
(e)

DENIED  
(f)

A. REQUESTS

0

0

0

21

3

3

B. APPEALS

0

0

0

0

0

0

8. PAGES DECLASSIFIED: AUTOMATIC DECLASSIFICATION AND SYSTEMATIC  
REVIEW FOR DECLASSIFICATION (Sections 3.4 and 3.5 of EO 12958)  
0

9. INTERNAL AGENCY OVERSIGHT

Number of Formal Inspections, Surveys, or Program Reviews  
192 inspections; 1 Administrative Incident Inquiry

10. EXPLANATORY COMMENTS

(Use this space to elaborate on any section of this form. If more space is needed, use a blank sheet(s) of paper and attach to

The increase in the number of derivative classification decisions is due to an increase in activity the terrorist events of  
September 2001, and in some cases because of more accurate reporting. The increase in the number of oversight  
inspections resulted from improved reporting procedures.



(IMPORTANT - Read instructions on reverse before completing this form)				INTERAGENCY REPORT CONTROL NUMBER <div style="text-align: center;">0230-NAR-AN</div>		
AGENCY SECURITY CLASSIFICATION MANAGEMENT PROGRAM DATA				1. FISCAL YEAR COVERED <div style="text-align: center;">2003</div>		
2. DEPARTMENT, INDEPENDENT AGENCY OR ESTABLISHMENT U.S. Department of Transportation			3. CONTACT FOR ADDITIONAL INFORMATION (Name, office, and telephone no.) Richard B. Thompson Office of Security 202-366-4678			
4. SENIOR AGENCY OFFICIAL (Section 5.6, E.O. 12958) Vincent T. Taylor Assistant Secretary for Administration						
5. NUMBER OF ORIGINAL CLASSIFICATION AUTHORITIES						
A. TOP SECRET	B. SECRET	C. CONFIDENTIAL	D. TOTAL			
0	7	3	10			
6. NUMBER OF CLASSIFICATION DECISIONS						
CLASSIFICATION LEVEL	ORIGINAL CLASSIFICATION		DERIVATIVE			
	DECLASSIFY IN 10 YEARS OR LESS	EXEMPT FROM DECLASSIFI- CATION IN 10 YEARS				
	(a)	(b)				
A. TOP SECRET	0	0	254			
B. SECRET	0	0	28			
C. CONFIDENTIAL	0	0	0			
7. MANDATORY REVIEW REQUESTS	CASES CARRIED OVER FROM THE PREVIOUS PERIOD (a)	NEW CASES RECEIVED (b)	CASES CARRIED OVER TO NEXT PERIOD (c)	DECLASSIFICATION DECISIONS (Report in pages)		
				GRANTED IN FULL (d)	GRANTED IN PART (e)	DENIED (f)
	A. REQUESTS	0	0	0	0	0
B. APPEALS	0	0	0	0	0	
8. PAGES DECLASSIFIED: AUTOMATIC DECLASSIFICATION AND SYSTEMATIC REVIEW FOR DECLASSIFICATION (Sections 3.4 and 3.5 of EO 12958)			9. INTERNAL AGENCY OVERSIGHT Number of Formal Inspections, Surveys, or Program Reviews			
24			76			
10. EXPLANATORY COMMENTS						
(Use this space to elaborate on any section of this form. If more space is needed, use a blank sheet(s) of paper and attach to						
This year's statistics are significantly lower because of the transfer of the U.S. Coast Guard and the						
Transportation Security Administration to the Homeland Security Department.						

DRAFT

**AGENCY SECURITY CLASSIFICATION MANAGEMENT PROGRAM DATA**

(Submissions must be unclassified and typewritten, and reach the Information Security Oversight Office (ISOO) no later than November 15 following the reporting period.)

## PART A: Identifying Information

- |  |
|--|
| 1. Enter the <b>Fiscal Year</b> that this report covers.<br>FY 2004  |
| 2. Identify the <b>Department, Independent agency or establishment</b> that is covered by this report.<br>U.S. Department of Transportation  |
| 3. Enter the name, title, address, phone, fax, and email address of the <b>Senior Agency Official</b> (as defined in EO 12958, as amended, Section 5.4(d)) responsible for this report.<br><br>Vincent T. Taylor, Assistant Secretary for Administration, US Dept of Transportation, 400 Seventh St. SW, Washington, DC 20590; 202-366-2332, fax 202-3666-7211; vincent.taylor@ost.dot.gov |
| 4. Enter the name, title, phone, fax and email address for the <b>point-of-contact</b> responsible for answering questions about this report.<br><br>Richard T. Thompson, Associate Director for Security Policy, 202-366-4678, fax 202-493-2006, richard.thompson@ost.dot.gov   |

### **PART B: Officials with Original Classification Authority**

- |  |    |   |
|--|----|---|
| 5. Enter the number of agency officials whose <b>highest level</b> of original classification authority is <b>TOP SECRET</b> .   | 5. | 0 |
| 6. Enter the number of agency officials whose <b>highest level</b> of original classification authority is <b>SECRET</b> .       | 6. | 7 |
| 7. Enter the number of agency officials whose <b>highest level</b> of original classification authority is <b>CONFIDENTIAL</b> . | 7. | 0 |
| 8. <b>Total</b> number of officials with original classification authority. (Sum of blocks 5, 6, & 7)                            | 8. | 7 |

### **PART C: Original Classification Decisions**

Original classification is an initial determination that the information to be classified has not been previously classified by any other authority. It also meets the following conditions: (1) it was classified by an original classification authority; (2) the information is owned by, produced by or for, or is under the control of the United States Government; (3) it falls into at least one of the categories found in Section 1.4 of EO 12958, as amended; and (4) unauthorized disclosure could reasonably be expected to result in damage to the national security. [Provide information only on classification decisions contained in finished products for dissemination or retention, regardless of the media. Do not count reproductions or copies.]

- |  |       |
|--|-------|
| 9. Enter the number of <b>original TOP SECRET</b> classification decisions made during the reporting period with <b>declassification instructions of 10 years or less.</b>                       | 9. 0  |
| 10. Enter the number of <b>original TOP SECRET</b> classification decisions made during the reporting period with <b>declassification instructions ranging from over 10 years to 25 years.</b>   | 10. 0 |
| 11. <b>Total number of TOP SECRET original classification decisions. (Sum of blocks 9 &amp; 10)</b>  | 11. 0 |
| 12. Enter the number of <b>original SECRET</b> classification decisions made during the reporting period with <b>declassification instructions of 10 years or less.</b>                          | 12. 0 |
| 13. Enter the number of <b>original SECRET</b> classification decisions made during the reporting period with <b>declassification instructions ranging from over 10 years to 25 years.</b>       | 13. 0 |
| 14. <b>Total number of SECRET original classification decisions. (Sum of blocks 12 &amp; 13)</b>   | 14. 0 |
| 15. Enter the number of <b>original CONFIDENTIAL</b> classification decisions made during the reporting period with <b>declassification instructions of 10 years or less.</b>                    | 15. 0 |
| 16. Enter the number of <b>original CONFIDENTIAL</b> classification decisions made during the reporting period with <b>declassification instructions ranging from over 10 years to 25 years.</b> | 16. 0 |
| 17. <b>Total number of CONFIDENTIAL original classification decisions. (Sum of blocks 15 &amp; 16)</b>   | 17. 0 |
| 18. <b>Total number of original classification decisions. (Sum of blocks 11, 14, &amp; 17)</b>   | 18. 0 |

## PART D: Derivative Classification Decisions

Derivative classification is the incorporating, paraphrasing, restating, or generating in new form information that is already classified. This includes classification based on classification guides or other source documents. If possible, include derivative classification actions made by contractors.

- |   |     |    |
|---|-----|----|
| 19. Enter the number of <b>derivative TOP SECRET</b> classifications during the reporting period.   | 19. | 0  |
| 20. Enter the number of <b>derivative SECRET</b> classifications during the reporting period.       | 20. | 15 |
| 21. Enter the number of <b>derivative CONFIDENTIAL</b> classifications during the reporting period. | 21. | 0  |
| 22. Total number of derivative classification decisions. (Sum of blocks 19, 20, & 21)               | 22. | 15 |

# DRAFT

1. Enter the Fiscal Year that this report covers.  
FY 2004
2. Identify the Department, Independent agency or establishment that is covered by this report.  
U.S. Department of Transportation

## PART E: Mandatory Declassification Review Requests and Appeals

A "request" is an individual review request or appeal, regardless of the number of documents or pages to be reviewed as part of the request. Report only requests for your agency in which your agency is responsible for the final decision. Please provide an explanation in Part I below where the number of requests or appeal carried forward between periods changes.

23. Enter the number of requests carried over from the previous reporting period.	23. 0
24. Enter the number of new requests received during the reporting period.	24. 0
25. Enter the number of requests carried over to the next reporting period.	25. 0
26. Enter the number of appeals carried over from the previous reporting period.	26. 0
27. Enter the number of new appeals received during the reporting period.	27. 0
28. Enter the number of appeals carried over to the next reporting period.	28. 0

## PART F: Mandatory Declassification Review Decisions in Pages

29. Enter the number of requested pages that were declassified in full.	29. 0
30. Enter the number of requested pages that were declassified in part.	30. 0
31. Enter the number of requested pages that were denied declassification.	31. 0
32. Total number of requested pages acted on. (Sum of blocks 29, 30, and 31)	32. 0
33. Enter the number of appealed pages that were declassified in full.	33. 0
34. Enter the number of appealed pages that were declassified in part.	34. 0
35. Enter the number of appealed pages that were denied declassification.	35. 0
36. Total number of appealed pages acted on. (Sum of blocks 33, 34, & 35)	36. 0

## PART G: Automatic Declassification and Systematic Review

37. Enter the number of pages reviewed during the reporting period that were subject to declassification under Sections 3.3 & 3.4, EO 12958, as amended.	37. 23
38. Enter the number of pages declassified under Sections 3.3 & 3.4, EO 12958, as amended.	38. 15

## PART H: Internal Agency Oversight

39. Enter the number of inspections, surveys, or program reviews, covering any aspect of the security classification program, completed during the reporting period.	39. 64
40. Enter the number of internal challenges processed by your agency to the classification of information believed to be improperly classified or unclassified. (See EO 12958 as amended, Section 1.8)	40. 0

## PART I: Explanatory Comments

Use this space to elaborate on any section of this form. If more space is needed, provide them as an attachment to this form.

Please note that we have dropped three Confidential Original Classification Authorities since last year. Also, upon further review of the SF 311 instructions, we did not report any TOP SECRET derivative classification decisions this year because all of the documents produced were of a working paper nature, and not finished products for dissemination or retention. If you have any questions please call Richard Thompson at 202-366-4678, or David Meade at 202-366-8891.

# DRAFT

# AGENCY SECURITY CLASSIFICATION MANAGEMENT PROGRAM DATA

(Submissions must be unclassified and typewritten, and reach the Information Security Oversight Office (ISOO) no later than November 15 following the reporting period.)

## PART A: Identifying Information

1. Enter the Fiscal Year that this report covers.  
2005
2. Identify the Department, Independent agency or Establishment that is covered by this report.  
Department of Transportation
3. Enter the name, title, address, phone, fax, and email address of the Senior Agency Official (as defined in EO 12958, as amended, Section 5.4(d)) responsible for this report.  
Ms. Linda J. Washington, Acting Assistant Secretary for Administration ( M-1), US Department of Transportation, 400 Seventh St., SW, Washington, DC 20590 Phone: 202-366-2332, fax: 202-366-2191
4. Enter the name, title, phone, fax and email address for the point-of-contact responsible for answering questions about this report.  
David Meade, Security Specialist, phone 202-366-8891, fax 202-493-2006, david.meade@dot.gov

## PART B: Officials with Original Classification Authority

- |   |    |   |
|---|----|---|
| 5. Enter the number of agency officials whose highest level of original classification authority is TOP SECRET.   | 5. | 0 |
| 6. Enter the number of agency officials whose highest level of original classification authority is SECRET.       | 6. | 7 |
| 7. Enter the number of agency officials whose highest level of original classification authority is CONFIDENTIAL. | 7. | 0 |
| 8. Total number of officials with original classification authority. (Sum of blocks 5, 6, & 7)                    | 8. | 7 |

## PART C: Original Classification Decisions

Original classification is an initial determination that the information to be classified has not been previously classified by any other authority. It also meets the following conditions: (1) it was classified by an original classification authority; (2) the information is owned by, produced by or for, or is under the control of the United States Government; (3) it falls into at least one of the categories found in Section 1.4 of EO 12958, as amended; and, (4) unauthorized disclosure could reasonably be expected to result in damage to the national security. (Provide information only on classification decisions contained in finished products for dissemination or retention, regardless of the media. Do not count reproductions or copies.)

- |  |     |   |
|--|-----|---|
| 9. Enter the number of original TOP SECRET classification decisions made during the reporting period with declassification instructions of 10 years or less.                       | 9.  | 0 |
| 10. Enter the number of original TOP SECRET classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.   | 10. | 0 |
| 11. Total number of TOP SECRET original classification decisions. (Sum of blocks 9 & 10)   | 11. | 0 |
| 12. Enter the number of original SECRET classification decisions made during the reporting period with declassification instructions of 10 years or less.                          | 12. | 0 |
| 13. Enter the number of original SECRET classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.       | 13. | 0 |
| 14. Total number of SECRET original classification decisions. (Sum of blocks 12 & 13)  | 14. | 0 |
| 15. Enter the number of original CONFIDENTIAL classification decisions made during the reporting period with declassification instructions of 10 years or less.                    | 15. | 0 |
| 16. Enter the number of original CONFIDENTIAL classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years. | 16. | 0 |
| 17. Total number of CONFIDENTIAL original classification decisions. (Sum of blocks 15 & 16)  | 17. | 0 |
| 18. Total number of original classification decisions. (Sum of blocks 11, 14, & 17)  | 18. | 0 |

## PART D: Derivative Classification Decisions

Derivative classification is the incorporating, paraphrasing, restating, or generating in new form information that is already classified. This includes classification based on classification guides or other source documents. (Provide information only on derivative classification decisions contained in finished products for dissemination or retention, regardless of the media. Do not count reproductions or copies.)

- |  |     |    |
|--|-----|----|
| 19. Enter the number of derivative TOP SECRET classifications during the reporting period.   | 19. | 1  |
| 20. Enter the number of derivative SECRET classifications during the reporting period.       | 20. | 13 |
| 21. Enter the number of derivative CONFIDENTIAL classifications during the reporting period. | 21. |    |
| 22. Total number of derivative classification decisions. (Sum of blocks 19, 20, & 21)        | 22. | 14 |

Enter the Fiscal Year that this report covers. .

2005

Identify the Department, independent agency or establishment that is covered by this report.

Department of Transportation

### PART E: Mandatory Declassification Review Requests and Appeals

A "request" is an individual review request or appeal, regardless of the number of documents or pages to be reviewed as part of the request. Report only requests for your agency in which your agency is responsible for the final decision. Please provide an explanation in Part I below where the number of requests or appeals carried forward between reporting periods changes.

23. Enter the number of requests carried over from the previous reporting period.	23.	0
24. Enter the number of new requests received during the reporting period.	24.	0
25. Enter the number of requests carried over to the next reporting period.	25.	0
26. Enter the number of appeals carried over from the previous reporting period.	26.	0
27. Enter the number of new appeals received during the reporting period.	27.	0
28. Enter the number of appeals carried over to the next reporting period.	28.	0

### PART F: Mandatory Declassification Review Decisions in Pages

29. Enter the number of requested pages that were declassified in full.	29.	
30. Enter the number of requested pages that were declassified in part.	30.	
31. Enter the number of requested pages that were denied declassification.	31.	
32. Total number of requested pages acted on. (Sum of blocks 29, 30, and 31)	32.	0
33. Enter the number of appealed pages that were declassified in full.	33.	
34. Enter the number of appealed pages that were declassified in part.	34.	
35. Enter the number of appealed pages that were denied declassification.	35.	
36. Total number of appealed pages acted on. (Sum of blocks 33, 34, & 35)	36.	0

### PART G: Automatic Declassification and Systematic Review

37. Enter the number of pages reviewed during the reporting period that were subject to declassification under Sections 3.3 & 3.4, EO 12958, as amended.	37.	8,000
38. Enter the number of pages declassified under Sections 3.3 & 3.4, EO 12958, as amended.	38.	8,000

### PART H: Internal Agency Oversight

39. Enter the number of inspections, surveys, or program reviews, covering any aspect of the security classification program, completed during the reporting period.	39.	84
40. Enter the number of challenges processed by your agency to the classification of information believed to be improperly classified or unclassified. (See EO 12958 as amended, Section 1.8)	40.	0

### PART I: Explanatory Comments

Use this space to elaborate on any section of this form. If more space is needed, provide as an attachment to this form. Provide explanations for any significant changes in trends/numbers from the previous year's report.



# AGENCY SECURITY CLASSIFICATION MANAGEMENT PROGRAM DATA

(Submissions must be unclassified and typewritten, and reach the Information Security Oversight Office (ISOO) no later than November 15 following the reporting period.)

## PART A: Identifying Information

1. Enter the Fiscal Year that this report covers. 2006
2. Identify the Department, Independent agency or Establishment that is covered by this report. U. S. Department of Transportation
3. Enter the name, title, address, phone, fax, and email address of the Senior Agency Official (as defined in EO 12958, as amended, Section 5.4(d)) responsible for this report. Ms. Linda J. Washington, Acting Assistant Secretary for Administration (M-1), U.S. Department of Transportation, 400 Seventh St., SW, Washington, DC 20590 Phone: 202-366-2332, Fax: 202-366-2191
4. Enter the name, title, phone, fax and email address for the point-of-contact responsible for answering questions about this report. Margaret L. Rose, Classified Information Security Specialist, Phone: 202-366-9524, Fax: 202-366-2006, e-mail: margaret.rose@dot.gov

## PART B: Officials with Original Classification Authority

5. Enter the number of agency officials whose highest level of original classification authority is TOP SECRET.	5.	0
6. Enter the number of agency officials whose highest level of original classification authority is SECRET.	6.	7
7. Enter the number of agency officials whose highest level of original classification authority is CONFIDENTIAL.	7.	0
8. Total number of officials with original classification authority. (Sum of blocks 5, 6, & 7)	8.	7

## PART C: Original Classification Decisions

Original classification is an initial determination that the information to be classified has not been previously classified by any other authority. It also meets the following conditions: (1) it was classified by an original classification authority; (2) the information is owned by, produced by or for, or is under the control of the United States Government; (3) it falls into at least one of the categories found in Section 1.4 of EO 12958, as amended; and, (4) unauthorized disclosure could reasonably be expected to result in damage to the national security. [Provide information only on classification decisions contained in finished products for dissemination or retention, regardless of the media. Do not count reproductions or copies.]

9. Enter the number of original TOP SECRET classification decisions made during the reporting period with declassification instructions of 10 years or less.	9.	
10. Enter the number of original TOP SECRET classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.	10.	
11. Total number of TOP SECRET original classification decisions. (Sum of blocks 9 & 10)	11.	0
12. Enter the number of original SECRET classification decisions made during the reporting period with declassification instructions of 10 years or less.	12.	
13. Enter the number of original SECRET classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.	13.	
14. Total number of SECRET original classification decisions. (Sum of blocks 12 & 13)	14.	0
15. Enter the number of original CONFIDENTIAL classification decisions made during the reporting period with declassification instructions of 10 years or less.	15.	
16. Enter the number of original CONFIDENTIAL classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.	16.	
17. Total number of CONFIDENTIAL original classification decisions. (Sum of blocks 15 & 16)	17.	0
18. Total number of original classification decisions. (Sum of blocks 11, 14, & 17)	18.	0

## PART D: Derivative Classification Decisions

Derivative classification is the incorporating, paraphrasing, restating, or generating in new form information that is already classified. This includes classification based on classification guides or other source documents. [Provide information only on derivative classification decisions contained in finished products for dissemination or retention, regardless of the media. Do not count reproductions or copies.]

19. Enter the number of derivative TOP SECRET classifications during the reporting period.	19.	
20. Enter the number of derivative SECRET classifications during the reporting period.	20.	5
21. Enter the number of derivative CONFIDENTIAL classifications during the reporting period.	21.	1
22. Total number of derivative classification decisions. (Sum of blocks 19, 20, & 21)	22.	6

Enter the Fiscal Year that this report covers.

2006

Identify the Department, Independent agency or establishment that is covered by this report.

U. S. Department of Transportation

### PART E: Mandatory Declassification Review Requests and Appeals

A "request" is an individual review request or appeal, regardless of the number of documents or pages to be reviewed as part of the request. Report only requests for your agency in which your agency is responsible for the final decision. Please provide an explanation in Part I below where the number of requests or appeals carried forward between reporting periods changes.

23. Enter the number of requests carried over from the previous reporting period.

23.

0

24. Enter the number of new requests received during the reporting period.

24.

0

25. Enter the number of requests carried over to the next reporting period.

25.

0

26. Enter the number of appeals carried over from the previous reporting period.

26.

0

27. Enter the number of new appeals received during the reporting period.

27.

0

28. Enter the number of appeals carried over to the next reporting period.

28.

0

### PART F: Mandatory Declassification Review Decisions in Pages

29. Enter the number of requested pages that were declassified in full.

29.

0

30. Enter the number of requested pages that were declassified in part.

30.

0

31. Enter the number of requested pages that were denied declassification.

31.

0

32. Total number of requested pages acted on. (Sum of blocks 29, 30, and 31)

32.

0

33. Enter the number of appealed pages that were declassified in full.

33.

0

34. Enter the number of appealed pages that were declassified in part.

34.

0

35. Enter the number of appealed pages that were denied declassification.

35.

0

36. Total number of appealed pages acted on. (Sum of blocks 33, 34, & 35)

36.

0

### PART G: Automatic Declassification and Systematic Review

37. Enter the number of pages reviewed during the reporting period that were subject to declassification under Sections 3.3 & 3.4, EO 12958, as amended.

37.

515,036

38. Enter the number of pages declassified under Sections 3.3 & 3.4, EO 12958, as amended.

38.

2,241

### PART H: Internal Agency Oversight

39. Enter the number of inspections, surveys, or program reviews, covering any aspect of the security classification program, completed during the reporting period.

39.

77

40. Enter the number of challenges processed by your agency to the classification of information believed to be improperly classified or unclassified. (See EO 12958 as amended, Section 1.8)

40.

0

### PART I: Explanatory Comments

Use this space to elaborate on any section of this form. If more space is needed, provide as an attachment to this form. Provide explanations for any significant changes in trends/numbers from the previous year's report.

# AGENCY SECURITY CLASSIFICATION MANAGEMENT PROGRAM DATA

(Submissions must be unclassified and typewritten, and reach the Information Security Oversight Office (ISOO) no later than November 15 following the reporting period.)

## PART A: Identifying Information

1. Enter the Fiscal Year that this report covers.

Fiscal Year 2007

2. Identify the Department, independent agency or Establishment that is covered by this report.

Department of Transportation

3. Enter the name, title, address, phone, fax, and email address of the Senior Agency Official (as defined in EO 12958, as amended, Section 5.4(d)) responsible for this report.

Linda Washington  
Assistant Secretary for Administration (M-1)  
1200 New Jersey Avenue, SE  
Washington, DC 20590

4. Enter the name, title, phone, fax and email address for the point-of-contact responsible for answering questions about this report.

Lee Privett  
Director of Security (M-40)  
Room W54-336  
1200 New Jersey Ave, SE  
Washington, DC 20590  
202-368-4677  
E-mail: lee.privett@dot.gov

## PART B: Officials with Original Classification Authority

5. Enter the number of agency officials whose highest level of original classification authority is TOP SECRET.

5.  
0

6. Enter the number of agency officials whose highest level of original classification authority is SECRET.

6.  
7

7. Enter the number of agency officials whose highest level of original classification authority is CONFIDENTIAL.

7.  
0

8. Total number of officials with original classification authority. (Sum of blocks 5, 6, & 7)

8.  
7

## PART C: Original Classification Decisions

Original classification is an initial determination that the information to be classified has not been previously classified by any other authority. It also meets the following conditions: (1) it was classified by an original classification authority; (2) the information is owned by, produced by or for, or is under the control of the United States Government; (3) it falls into at least one of the categories found in Section 1.4 of EO 12958, as amended; and, (4) unauthorized disclosure could reasonably be expected to result in damage to the national security. (Provide information only on classification decisions contained in finished products for dissemination or retention, regardless of the media. Do not count reproductions or copies.)

9. Enter the number of original TOP SECRET classification decisions made during the reporting period with declassification instructions of 10 years or less.

9.  
0

10. Enter the number of original TOP SECRET classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.

10.  
0

11. Total number of TOP SECRET original classification decisions. (Sum of blocks 9 & 10)

11.  
0

12. Enter the number of original SECRET classification decisions made during the reporting period with declassification instructions of 10 years or less.

12.  
0

13. Enter the number of original SECRET classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.

13.  
0

14. Total number of SECRET original classification decisions. (Sum of blocks 12 & 13)

14.  
0

15. Enter the number of original CONFIDENTIAL classification decisions made during the reporting period with declassification instructions of 10 years or less.

15.  
0

16. Enter the number of original CONFIDENTIAL classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.

16.  
0

17. Total number of CONFIDENTIAL original classification decisions. (Sum of blocks 15 & 16)

17.  
0

18. Total number of original classification decisions. (Sum of blocks 11, 14, & 17)

18.  
0

## PART D: Derivative Classification Decisions

Derivative classification is the incorporating, paraphrasing, restating, or generating in new form information that is already classified. This includes classification based on classification guides or other source documents. (Provide information only on derivative classification decisions contained in finished products for dissemination or retention, regardless of the media. Do not count reproductions or copies.)

19. Enter the number of derivative TOP SECRET classifications during the reporting period.

19.  
0

20. Enter the number of derivative SECRET classifications during the reporting period.

20.  
0

21. Enter the number of derivative CONFIDENTIAL classifications during the reporting period.

21.  
4

22. Total number of derivative classification decisions. (Sum of blocks 19, 20, & 21)

22.  
4



Enter the Fiscal Year that this report covers.

Fiscal Year 2007

Identify the Department, independent agency or establishment that is covered by this report.

Department of Transportation

**PART E: Mandatory Declassification Review Requests and Appeals**

A "request" is an individual review request or appeal, regardless of the number of documents or pages to be reviewed as part of the request. Report only requests for your agency in which your agency is responsible for the final decision. Please provide an explanation in Part I below where the number of requests or appeals carried forward between reporting periods changes.

23. Enter the number of requests carried over from the previous reporting period.	23. 0
24. Enter the number of new requests received during the reporting period.	24. 0
25. Enter the number of requests carried over to the next reporting period.	25. 0
26. Enter the number of appeals carried over from the previous reporting period.	26. 0
27. Enter the number of new appeals received during the reporting period.	27. 0
28. Enter the number of appeals carried over to the next reporting period.	28. 0

**PART F: Mandatory Declassification Review Decisions in Pages**

29. Enter the number of requested pages that were declassified in full.	29. 0
30. Enter the number of requested pages that were declassified in part.	30. 0
31. Enter the number of requested pages that were denied declassification.	31. 0
32. Total number of requested pages acted on. (Sum of blocks 29, 30, and 31)	32. 0
33. Enter the number of appealed pages that were declassified in full.	33. 0
34. Enter the number of appealed pages that were declassified in part.	34. 0
35. Enter the number of appealed pages that were denied declassification.	35. 0
36. Total number of appealed pages acted on. (Sum of blocks 33, 34, & 35)	36. 0

**PART G: Automatic Declassification and Systematic Review**

37. Enter the number of pages reviewed during the reporting period that were subject to declassification under Sections 3.3 & 3.4, EO 12958, as amended.	37. 380,000
38. Enter the number of pages declassified under Sections 3.3 & 3.4, EO 12958, as amended.	38. 0

**PART H: Internal Agency Oversight**

39. Enter the number of inspections, surveys, or program reviews, covering any aspect of the security classification program, completed during the reporting period.	39. 115
40. Enter the number of challenges processed by your agency to the classification of information believed to be improperly classified or unclassified. (See EO 12958 as amended, Section 1.8)	40. 0

**PART I: Explanatory Comments**

Use this space to elaborate on any section of this form. If more space is needed, provide as an attachment to this form. Provide explanations for any significant changes in trends/numbers from the previous year's report.

Part G "Automatic Declassification and Systematic Review"--Following the submission of the 2007 Declassification Plan update to ISOO, we experienced an slight increase in the number of pages reviewed for automatic declassification for FY 2007.

# AGENCY SECURITY CLASSIFICATION MANAGEMENT PROGRAM DATA

(Submissions must be unclassified and typewritten, and reach the Information Security Oversight Office (ISOO) no later than November 15 following the reporting period.)

## PART A: Identifying Information

1. Enter the **Fiscal Year** that this report covers.  
October 1, 2007 -September 30, 2008
2. Identify the **Department, Independent agency or Establishment** that is covered by this report.  
[REDACTED]
3. Enter the name, title, address, phone, fax, and email address of the **Senior Agency Official** (as defined in EO 12958, as amended, Section 5.4(d)) responsible for this report.  
Linda Washington  
Assistant Secretary for Administration, M-1  
1200 New Jersey Ave, SE  
Washington, DC 20509
4. Enter the name, title, phone, fax and email address for the **point-of-contact** responsible for answering questions about this report.  
Lee Privett  
Director  
Office of Security, M-40  
1200 New Jersey Ave, SE  
Washington, DC 20590  
Phone: 202-366-4677  
Email: Lee.Privett@dot.gov

## PART B: Officials with Original Classification Authority

5. Enter the number of agency officials whose **highest level** of original classification authority is **TOP SECRET**.
6. Enter the number of agency officials whose **highest level** of original classification authority is **SECRET**.
7. Enter the number of agency officials whose **highest level** of original classification authority is **CONFIDENTIAL**.
8. **Total number of officials with original classification authority.** (Sum of blocks 5, 6, & 7)

5.	0
6.	7
7.	0
8.	7

## PART C: Original Classification Decisions

Original classification is an initial determination that the information to be classified has not been previously classified by any other authority. It also meets the following conditions: (1) it was classified by an original classification authority; (2) the information is owned by, produced by or for, or is under the control of the United States Government; (3) it falls into at least one of the categories found in Section 1.4 of EO 12958, as amended; and, (4) unauthorized disclosure could reasonably be expected to result in damage to the national security. [Provide information only on classification decisions contained in finished products for dissemination or retention, regardless of the media. Do not count reproductions or copies.]

9. Enter the number of original **TOP SECRET** classification decisions made during the reporting period with **declassification instructions of 10 years or less**.
10. Enter the number of original **TOP SECRET** classification decisions made during the reporting period with **declassification instructions ranging from over 10 years to 25 years**.
11. **Total number of TOP SECRET original classification decisions.** (Sum of blocks 9 & 10)
12. Enter the number of original **SECRET** classification decisions made during the reporting period with **declassification instructions of 10 years or less**.
13. Enter the number of original **SECRET** classification decisions made during the reporting period with **declassification instructions ranging from over 10 years to 25 years**.
14. **Total number of SECRET original classification decisions.** (Sum of blocks 12 & 13)
15. Enter the number of original **CONFIDENTIAL** classification decisions made during the reporting period with **declassification instructions of 10 years or less**.
16. Enter the number of original **CONFIDENTIAL** classification decisions made during the reporting period with **declassification instructions ranging from over 10 years to 25 years**.
17. **Total number of CONFIDENTIAL original classification decisions.** (Sum of blocks 15 & 16)
18. **Total number of original classification decisions:** (Sum of blocks 11, 14, & 17)

9.	0
10.	0
11.	0
12.	0
13.	0
14.	0
15.	0
16.	0
17.	0
18.	0

## PART D: Derivative Classification Decisions

Derivative classification is the incorporating, paraphrasing, restating, or generating in new form information that is **already classified**. This includes classification based on classification guides or other source documents. [Provide information only on derivative classification decisions contained in finished products for dissemination or retention, regardless of the media. Do not count reproductions or copies.]

19. Enter the number of derivative **TOP SECRET** classifications during the reporting period.
20. Enter the number of derivative **SECRET** classifications during the reporting period.
21. Enter the number of derivative **CONFIDENTIAL** classifications during the reporting period.
22. **Total number of derivative classification decisions.** (Sum of blocks 19, 20, & 21)

19.	0
20.	0
21.	0
22.	0

Enter the **Fiscal Year** that this report covers.

October 1, 2007 -September 30, 2008

Identify the **Department, Independent agency or establishment** that is covered by this report.

U.S. Department of Transportation

### PART E: Mandatory Declassification Review Requests and Appeals

A "request" is an individual review request or appeal, regardless of the number of documents or pages to be reviewed as part of the request. Report only requests for your agency in which your agency is responsible for the final decision. Please provide an explanation in Part I below where the number of requests or appeals carried forward between reporting periods changes.

23. Enter the number of requests carried over from the previous reporting period.	23.	0
24. Enter the number of new requests received during the reporting period.	24.	0
25. Enter the number of requests carried over to the next reporting period.	25.	0
26. Enter the number of appeals carried over from the previous reporting period.	26.	0
27. Enter the number of new appeals received during the reporting period.	27.	0
28. Enter the number of appeals carried over to the next reporting period.	28.	0

### PART F: Mandatory Declassification Review Decisions in Pages

29. Enter the number of requested pages that were declassified in full.	29.	0
30. Enter the number of requested pages that were declassified in part.	30.	0
31. Enter the number of requested pages that were denied declassification.	31.	0
32. Total number of requested pages acted on. (Sum of blocks 29, 30, and 31)	32.	0
33. Enter the number of appealed pages that were declassified in full.	33.	0
34. Enter the number of appealed pages that were declassified in part.	34.	0
35. Enter the number of appealed pages that were denied declassification.	35.	0
36. Total number of appealed pages acted on. (Sum of blocks 33, 34, & 35)	36.	0

### PART G: Automatic Declassification and Systematic Review

37. Enter the number of pages reviewed during the reporting period that were subject to declassification under Sections 3.3 & 3.4, EO 12958, as amended.	37.	0
38. Enter the number of pages declassified under Sections 3.3 & 3.4, EO 12958, as amended.	38.	0

### PART H: Internal Agency Oversight

39. Enter the number of inspections, surveys, or program reviews, covering any aspect of the security classification program, completed during the reporting period.	39.	75
40. Enter the number of challenges processed by your agency to the classification of information believed to be improperly classified or unclassified. (See EO 12958 as amended, Section 1.8)	40.	0

### PART I: Explanatory Comments

Use this space to elaborate on any section of this form. If more space is needed, provide as an attachment to this form. Provide explanations for any significant changes in trends/numbers from the previous year's report.

Part G: We continue to ensure that each DOT organization identifies and reviews for possible declassification all classified information it holds that is of permanent historical value and that would be at least 25 years old as of December 31st of each year. As reported to ISOO earlier this year in the Annual Assessment of Agency Declassification Reviews (April 29, 2008), DOT had no data to report.

If you have any questions, please contact Margaret Rose at 202-366-9524 or at [margaret.rose@dot.gov](mailto:margaret.rose@dot.gov).

**AGENCY SECURITY CLASSIFICATION MANAGEMENT PROGRAM DATA**

(Submissions must be unclassified and typewritten, and reach the Information Security Oversight Office (ISOO) no later than November 15 following the reporting period.)

1. Enter the Fiscal Year that this report covers. October 1, 2008-September 30, 2009	
2. Identify the Department, Independent agency or Establishment that is covered by this report. U.S. Department of Transportation	
3. Enter the name, title, address, phone, fax, and email address of the Senior Agency Official (as defined in EO 12958, as amended, Section 5.4(d)) responsible for this report. Linda Washington Assistant Secretary for Administration 1200 New Jersey Ave, SE Washington, DC 20508	
4. Enter the name, title, phone, fax and email address for the point-of-contact responsible for answering questions about this report. Louis Widawski Acting Director Office of Security, M-40 1200 New Jersey Ave, SE Washington, DC 20508 Phone: 202-366-0919 Email: lou.widawski@dot.gov	
5. Enter the number of agency officials whose highest level of original classification authority is TOP SECRET.	5.
6. Enter the number of agency officials whose highest level of original classification authority is SECRET.	6. 7
7. Enter the number of agency officials whose highest level of original classification authority is CONFIDENTIAL.	7.
8. Total number of officials with original classification authority. (Sum of blocks 5, 6, & 7)	
9. Enter the number of original TOP SECRET classification decisions made during the reporting period with declassification instructions of 10 years or less.	
10. Enter the number of original TOP SECRET classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.	10. 0
11. Total number of TOP SECRET original classification decisions. (Sum of blocks 9 & 10)	
12. Enter the number of original SECRET classification decisions made during the reporting period with declassification instructions of 10 years or less.	12. 0
13. Enter the number of original SECRET classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.	13. 0
14. Total number of SECRET original classification decisions. (Sum of blocks 12 & 13)	
15. Enter the number of original CONFIDENTIAL classification decisions made during the reporting period with declassification instructions of 10 years or less.	15. 0
16. Enter the number of original CONFIDENTIAL classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.	16. 0
17. Total number of CONFIDENTIAL original classification decisions. (Sum of blocks 15 & 16)	
18. Total number of original classification decisions. (Sum of blocks 11, 14, & 17)	
19. Enter the number of derivative TOP SECRET classifications during the reporting period.	19 51
20. Enter the number of derivative SECRET classifications during the reporting period.	20. 4
21. Enter the number of derivative CONFIDENTIAL classifications during the reporting period.	21. 8
22. Total number of derivative classification decisions. (Sum of blocks 19, 20, & 21)	

Enter the Fiscal Year that this report covers. October 1, 2008-September 30, 2009	
Identify the Department, independent agency or establishment that is covered by this report. U.S. Department of Transportation	
23. Enter the number of requests carried over from the previous reporting period.	23. 0
24. Enter the number of new requests received during the reporting period.	24. 0
25. Enter the number of requests carried over to the next reporting period.	25. 0
26. Enter the number of appeals carried over from the previous reporting period.	26. 0
27. Enter the number of new appeals received during the reporting period.	27. 0
28. Enter the number of appeals carried over to the next reporting period.	28. 0
29. Enter the number of requested pages that were declassified in full.	29. 0
30. Enter the number of requested pages that were declassified in part.	30. 0
31. Enter the number of requested pages that were denied declassification.	31. 0
32. Total number of requested pages acted on: (Sum of blocks 29, 30, and 31)	
33. Enter the number of appealed pages that were declassified in full.	33. 0
34. Enter the number of appealed pages that were declassified in part.	34. 0
35. Enter the number of appealed pages that were denied declassification.	35. 0
36. Total number of appealed pages acted on: (Sum of blocks 33, 34, & 35)	
37. Enter the number of pages reviewed during the reporting period that were subject to declassification under Sections 3.3 & 3.4, EO12958, as amended.	37.
38. Enter the number of pages declassified under Sections 3.3 & 3.4, EO 12958, as amended.	38. 0
39. Enter the number of inspections, surveys, or program reviews, covering any aspect of the security classification program, completed during the reporting period.	39. 4
40. Enter the number of challenges processed by your agency to the classification of information believed to be improperly classified or unclassified. (See EO 12958 as amended, Section 1.8)	40. 0

Use this space to elaborate on any section of this form. If more space is needed, provide as an attachment to this form. Provide explanations for any significant changes in trends/numbers from the previous year's report.

Part D: The increase in derivative classifications over what DOT reported for FY 08 is due to an increase in the number of classified documents prepared as briefings for senior management officials.



**U.S. Department  
of Transportation**

Office of the Secretary  
of Transportation

1200 New Jersey Avenue, SE  
Washington, DC 20590

**NOV 16 2010**

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Mr. William J. Bosanko  
Director, Information Security Oversight Office  
National Archives and Records Administration  
700 Pennsylvania Avenue, N.W.  
Washington, DC 20408

Dear Mr. Bosanko:

Enclosed is the completed Standard Form 311, Agency Security Classification Management Program Data, for the Department of Transportation for Fiscal Year 2010.

If you have any questions, please feel free to call Margaret Rose of my staff at (202) 366-9524.

Sincerely,

A handwritten signature in dark ink, appearing to read "Robert M. Lee, Jr.", written over a light background.

Robert M. Lee, Jr., Acting Director  
Office of Security

Enclosure

# AGENCY SECURITY CLASSIFICATION MANAGEMENT PROGRAM DATA

(Submissions must be unclassified and reach the Information Security Oversight Office (ISOO) no later than November 15 following the reporting period.)

## PART A: Identifying Information

1. Enter the Fiscal Year that this report covers.	1. 2010
2. Identify the Department, Independent agency or Establishment that is covered by this report.	2. U.S. Department of Transportation
3. Enter the name, title, address, phone, fax, and e-mail address of the Senior Agency Official (as defined in E.O. 13526, section 5.4(d)) responsible for this report.	3. Brad Fortenot Deputy Assistant Secretary for Administration, M-1 1200 New Jersey Avenue, SE Washington, DC 20509 202-366-2332 Brad.Fortenot@doh.gov
4. Enter the name, title, phone, fax, and e-mail address for the point-of-contact responsible for answering questions about this report.	4. Robert M. Lee, Jr. Acting Director 202-366-4677 E-mail: Rob.Lee@doh.gov

## PART B: Officials with Original Classification Authority

5. Enter the number of agency officials whose highest level of original classification authority is TOP SECRET.	5. 0
6. Enter the number of agency officials whose highest level of original classification authority is SECRET.	6. 7
7. Enter the number of agency officials whose highest level of original classification authority is CONFIDENTIAL.	7. 0
8. Total number of officials with original classification authority. (Sum of blocks 5, 6, & 7)	8. 7

## PART C: Original Classification Decisions

Original classification is an initial determination that the information to be classified has not been previously classified by any other authority. It also meets the following conditions: (1) it was classified by an original classification authority; (2) the information is owned by or for, or is under the control of the United States Government; (3) it falls into at least one of the categories found in section 1.4 of E.O. 13526; and (4) unauthorized disclosure could reasonably be expected to result in damage to the national security. (Provide information on all classification decisions, regardless of the media, including those documented and disseminated via e-mail. Do not count reproductions or copies.)

9. Enter the number of original TOP SECRET classification decisions made during the reporting period with declassification instructions of 10 years or less.	9. 0
10. Enter the number of original TOP SECRET classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.	10. 0
11. Total number of TOP SECRET original classification decisions. (Sum of blocks 9 and 10)	11. 0
12. Enter the number of original SECRET classification decisions made during the reporting period with declassification instructions of 10 years or less.	12. 0
13. Enter the number of original SECRET classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.	13. 0
14. Total number of SECRET original classification decisions. (Sum of blocks 12 and 13)	14. 0
15. Enter the number of original CONFIDENTIAL classification decisions made during the reporting period with declassification instructions of 10 years or less.	15. 0
16. Enter the number of original CONFIDENTIAL classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.	16. 0
17. Total number of CONFIDENTIAL original classification decisions. (Sum of blocks 15 and 16)	17. 0
18. Total number of original classification decisions. (Sum of blocks 11, 14, and 17)	18. 0

## PART D: Derivative Classification Decisions

Derivative classification is the incorporating, paraphrasing, restating, or generating in new form information that is already classified. This includes classification based on classification guides or other source documents. (Provide information on all classification decisions, regardless of the media, including those documented and disseminated via e-mail. Do not count reproductions or copies.)

19. Enter the number of derivative TOP SECRET classification decisions during the reporting period.	19. 57
20. Enter the number of derivative SECRET classification decisions during the reporting period.	20. 16
21. Enter the number of derivative CONFIDENTIAL classification decisions during the reporting period.	21. 2
22. Total number of derivative classification decisions. (Sum of blocks 19, 20, and 21)	22. 75



<b>PART E: Mandatory Declassification Review Requests and Appeals</b>		
A "Request" is an individual initial review request or appeal, regardless of the number of documents or pages to be reviewed as part of the request. Report only requests for your agency in which your agency is responsible for the final decision. Please provide an explanation in Part J below where the number of requests or appeals carried forward between reporting period changes.		
23. Enter the number of requests carried over from the previous reporting period. (Block 25 on last year's report)	23.	0
24. Enter the number of new requests received during the reporting period.	24.	0
25. Enter the number of requests carried over to the next reporting period.	25.	0
26. Enter the number of appeals carried over from the previous reporting period. (Block 28 on last year's report)	26.	0
27. Enter the number of new appeals received during the reporting period.	27.	0
28. Enter the number of appeals carried over to the next reporting period.	28.	0
<b>PART F: Mandatory Declassification Review Decisions in Pages</b>		
29. Enter the number of requested pages that were declassified in full.	29.	0
30. Enter the number of requested pages that were declassified in part.	30.	0
31. Enter the number of requested pages that were denied declassification	31.	0
32. Total number of requested pages acted on. (Sum of blocks 29, 30, and 31)	32.	0
33. Enter the number of appealed pages that were declassified in full.	33.	0
34. Enter the number of appealed pages that were declassified in part.	34.	0
35. Enter the number of appealed pages that were denied declassification	35.	0
36. Total number of appealed pages acted on. (Sum of blocks 33, 34, and 35)	36.	0
<b>PART G: Automatic, Systematic, and Discretionary Declassification Reviews</b>		
37. Enter the number of pages reviewed that were subject to automatic declassification under section 3.3 of E.O. 13526.	37.	0
38. Enter the number of pages declassified under section 3.3 of E.O. 13526.	38.	0
39. Enter the number of pages reviewed that were subject to systematic declassification under section 3.4 of E.O. 13526.	39.	0
40. Enter the number of pages declassified under section 3.4 of E.O. 13526.	40.	0
41. Enter the number of pages reviewed that were subject to discretionary declassification under section 3.1 of E.O. 13526.	41.	0
42. Enter the number of pages declassified under section 3.1 of E.O. 13526.	42.	0
<b>PART H: Internal Agency Oversight</b>		
43. Enter the number of inspections, surveys, or program reviews conducted by your agency, covering any aspect of the security classification program, completed during the reporting period.	43.	52
44. Enter the number of challenges processed by your agency to the classification of information believed to be improperly classified or unclassified. (E.O. 13526, section 1.8)	44.	0
45. Enter the number of challenges where the classification status was fully affirmed.	45.	0
46. Enter the number of challenges where the classification status was overturned in whole or in part.	46.	0
<b>PART I: Classification Guides</b>		
47. Enter the number of security classification guides created by your agency and currently in use.	47.	0



Fiscal Year 2010 Department or Agency U.S. Department of Transportation

**PART J: Explanatory Comments**

*Use this space to elaborate on any section of this form. If more space is needed, provide as an attachment to this form. Provide explanations for any significant changes in trends/numbers from the previous year's report. Additionally, select the sampling process your agency used in developing this year's report.*

**Sampling Period (check one):**

2-Week ☐

4-Week ☐

8-Week ☐

One Year ☒

**Multiplier Applied (check one):**

None ☒

Other (Specify) ☐

Sampling Period: October 1, 2009 through September 30, 2010.

DOT collected information for the SF 311 by disseminating it, via e-mail, to security points-of-contact who have security-related responsibilities throughout DOT. These individuals reviewed classified operations and classified material under their purview, completed an SF 311 for their organizations, and provided the data for compilation by the Office of Security.



U.S. Department of  
Transportation  
Office of the Secretary  
of Transportation

1200 New Jersey Ave, SE  
Washington D.C. 20590

NOV 10 2011

Mr. John P. Fitzpatrick  
Director, Information Security Oversight Office  
National Archives and Records Administration  
700 Pennsylvania Avenue, N.W.  
Washington, DC 20408

Dear Mr. Fitzpatrick:

Enclosed is the completed Standard Form 311, Agency Security Classification Management Program Data, for the Department of Transportation for Fiscal Year 2011.

If you have any questions, please feel free to call Margaret Rose of my staff at (202) 366-9524.

Sincerely,

A handwritten signature in dark ink, appearing to read "DKB", written over the printed name.

David K. Bell  
Director  
Office of Security

Enclosure

# AGENCY SECURITY CLASSIFICATION MANAGEMENT PROGRAM DATA

(Submissions must be unclassified and reach the Information Security Oversight Office (ISOO) no later than November 15 following the reporting period.)

## PART A: Identifying Information

1. Enter the Fiscal Year that this report covers.	1. <b>2011</b>
2. Identify the Department, Independent agency or Establishment that is covered by this report.	2. <b>U.S. Department of Transportation</b>
3. Enter the name, title, address, phone, fax, and e-mail address of the Senior Agency Official (as defined in E.O. 13526, section 5.4(d)) responsible for this report.	3. Brodi Fontenot Assistant Secretary for Administration 1200 New Jersey Ave. SE Washington DC 20509 (202) 250-2335 Brodi.Fontenot@dot.gov
4. Enter the name, title, phone, fax, and e-mail address for the point-of-contact responsible for answering questions about this report.	4. David K. Bell Director of Security 1200 New Jersey Ave. SE Washington, DC 20509 202-268-4877 David.K.Bell@dot.gov

## PART B: Officials with Original Classification Authority

5. Enter the number of agency officials whose highest level of original classification authority is <b>TOP SECRET</b> .	5.
6. Enter the number of agency officials whose highest level of original classification authority is <b>SECRET</b> .	6. <b>8</b>
7. Enter the number of agency officials whose highest level of original classification authority is <b>CONFIDENTIAL</b> .	7.
8. Total number of officials with original classification authority. (Sum of blocks 5, 6, & 7)	8. <b>8</b>

## PART C: Original Classification Decisions

Original classification is an initial determination that the information to be classified has not been previously classified by any other authority. It also meets the following conditions: (1) it was classified by an original classification authority; (2) the information is owned by or for, or is under the control of the United States Government; (3) it falls into at least one of the categories found in section 1.4 of E.O. 13526; and (4) unauthorized disclosure could reasonably be expected to result in damage to the national security. (Provide information on all classification decisions, regardless of the media, including those documented and disseminated via e-mail. Do not count reproductions or copies.)

9. Enter the number of original <b>TOP SECRET</b> classification decisions made during the reporting period with declassification instructions of 10 years or less.	9.
10. Enter the number of original <b>TOP SECRET</b> classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.	10.
11. Total number of <b>TOP SECRET</b> original classification decisions. (Sum of blocks 9 and 10)	11. <b>0</b>
12. Enter the number of original <b>SECRET</b> classification decisions made during the reporting period with declassification instructions of 10 years or less.	12.
13. Enter the number of original <b>SECRET</b> classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.	13.
14. Total number of <b>SECRET</b> original classification decisions. (Sum of blocks 12 and 13)	14. <b>0</b>
15. Enter the number of original <b>CONFIDENTIAL</b> classification decisions made during the reporting period with declassification instructions of 10 years or less.	15.
16. Enter the number of original <b>CONFIDENTIAL</b> classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.	16.
17. Total number of <b>CONFIDENTIAL</b> original classification decisions. (Sum of blocks 15 and 16)	17. <b>0</b>
18. Total number of original classification decisions. (Sum of blocks 11, 14, and 17)	18. <b>0</b>

## PART D: Derivative Classification Decisions

Derivative classification is the incorporating, paraphrasing, restating, or generating in new form information that is already classified. This includes classification based on classification guides or other source documents. (Provide information on all classification decisions, regardless of the media, including those documented and disseminated via e-mail. Do not count reproductions or copies.)

19. Enter the number of derivative <b>TOP SECRET</b> classification decisions during the reporting period.	19. <b>80</b>
20. Enter the number of derivative <b>SECRET</b> classification decisions during the reporting period.	20. <b>6</b>
21. Enter the number of derivative <b>CONFIDENTIAL</b> classification decisions during the reporting period.	21. <b>2</b>
22. Total number of derivative classification decisions. (Sum of blocks 19, 20, and 21)	22. <b>88</b>

Fiscal Year

2011

Department or Agency

U.S. Department of Transportation

**PART E: Mandatory Declassification Review Requests and Appeals**

A "Request" is an individual initial review request or appeal, regardless of the number of documents or pages to be reviewed as part of the request. Report only requests for your agency in which your agency is responsible for the final decision. Please provide an explanation in Part J below where the number of requests or appeals carried forward between reporting period changes.

23. Enter the number of requests carried over from the previous reporting period. (Block 25 on last year's report)	23.
24. Enter the number of new requests received during the reporting period.	24.
25. Enter the number of requests carried over to the next reporting period.	25.
26. Enter the number of appeals carried over from the previous reporting period. (Block 28 on last year's report)	26.
27. Enter the number of new appeals received during the reporting period.	27.
28. Enter the number of appeals carried over to the next reporting period.	28.

**PART F: Mandatory Declassification Review Decisions in Pages**

29. Enter the number of requested pages that were declassified in full.	29.
30. Enter the number of requested pages that were declassified in part.	30.
31. Enter the number of requested pages that were denied declassification	31.
32. Total number of requested pages acted on. (Sum of blocks 29, 30, and 31)	32. 0
33. Enter the number of appealed pages that were declassified in full.	33.
34. Enter the number of appealed pages that were declassified in part.	34.
35. Enter the number of appealed pages that were denied declassification	35.
36. Total number of appealed pages acted on. (Sum of blocks 33, 34, and 35)	36. 0

**PART G: Automatic, Systematic, and Discretionary Declassification Reviews**

37. Enter the number of pages reviewed that were subject to automatic declassification under section 3.3 of E.O. 13526.	37.
38. Enter the number of pages declassified under section 3.3 of E.O. 13526.	38.
39. Enter the number of pages reviewed that were subject to systematic declassification under section 3.4 of E.O. 13526.	39.
40. Enter the number of pages declassified under section 3.4 of E.O. 13526.	40.
41. Enter the number of pages reviewed that were subject to discretionary declassification under section 3.1 of E.O. 13526.	41.
42. Enter the number of pages declassified under section 3.1 of E.O. 13526.	42.

**PART H: Internal Agency Oversight**

43. Enter the number of inspections, surveys, or program reviews conducted by your agency, covering any aspect of the security classification program, completed during the reporting period.	43. 4
44. Enter the number of challenges processed by your agency to the classification of information believed to be improperly classified or unclassified. (E.O. 13526, section 1.8)	44.
45. Enter the number of challenges where the classification status was fully affirmed.	45.
46. Enter the number of challenges where the classification status was overturned in whole or in part.	46.

**PART I: Classification Guides**

47. Enter the number of security classification guides created by your agency and currently in use.	47.
---	-----

Fiscal Year

2011

Department or Agency

U.S. Department of Transportation

**PART J: Explanatory Comments**

*Use this space to elaborate on any section of this form. If more space is needed, provide as an attachment to this form. Provide explanations for any significant changes in trends/numbers from the previous year's report. Additionally, select the sampling process your agency used in developing this year's report.*

**Sampling Period (check one):**2-Week ☐4-Week ☐8-Week ☐One Year ☒**Multiplier Applied (check one):**None ☒Other (Specify) ☐

The Department of Transportation currently has over 15,000 cleared federal employees and support contractors. DOT collected information to populate the SF 311 by disseminating the survey to security points of contact who have security cognizance in designated Operating Administrations. The Security Points of Contact then reviewed the classified operations under their purview and completed the survey based on the existing secure infrastructure found throughout their area of responsibility.

We also increased



U.S. Department of  
Transportation  
Office of the Secretary  
of Transportation

1200 New Jersey Ave, SE  
Washington D.C. 20590

NOV 15 2012

Mr. John P. Fitzpatrick  
Director, Information Security Oversight Office  
National Archives and Records Administration  
700 Pennsylvania Avenue, N.W.  
Washington, DC 20408

Dear Mr. Fitzpatrick:

Enclosed is the completed Standard Form 311, Agency Security Classification Management Program Data, for the Department of Transportation for Fiscal Year 2012. In 2012 there was a significant increase in the Department's derivative classification decisions. The Federal Aviation Administration (FAA) established a Current Intelligence Threat Evaluation (CITE) operations center that resulted in a significant increase in the derivative classification actions within DOT for FY 2012. We believe that the number of derivative classification decisions will level off as we refine our method of identifying decisions and provide standard training to our derivative classifiers.

If you have any questions, please feel free to call Margaret Rose of my staff at (202) 366-9524.

Sincerely,

David K. Bell  
Director  
Office of Security

Enclosure

The SF 311 form is currently under revision. When the revision is complete, it will appear the same as this attachment. For FY 2012, please use this attachment to respond. The only part that has changed is Part E.

## AGENCY SECURITY CLASSIFICATION MANAGEMENT PROGRAM DATA

(Submissions must be unclassified and reach the Information Security Oversight Office (ISOO) no later than November 15 following the reporting period.)

<b>PART A: Identifying Information</b>	
1. Enter the <b>Fiscal Year</b> that this report covers. October 2011-September 2012	1. 2012
2. Identify the <b>Department, Independent agency, or Establishment</b> that is covered by this report.	2. U.S. Department of Transportation
3. Enter the name, title, address, phone, fax, and e-mail address of the <b>Senior Agency Official</b> (as defined in E.O. 13526, section 5.4(d)) responsible for this report.	3. Brodi Fontenot Assistant Secretary for Administration, M1 1200 New Jersey Ave. SE WDC 20509 202-366-1400 Brodi.Fontenot@doh.gov
4. Enter the name, title, phone, fax, and e-mail address for the <b>point-of-contact</b> responsible for answering questions about this report.	4. David K. Bell, Director Office of Security, M4B 1200 New Jersey Ave. SE WDC 20509 David.Bell@doh.gov
<b>PART B: Officials with Original Classification Authority</b>	
5. Enter the number of agency officials whose <b>highest level</b> of original classification authority is <b>TOP SECRET</b> .	5.
6. Enter the number of agency officials whose <b>highest level</b> of original classification authority is <b>SECRET</b> .	6. 8
7. Enter the number of agency officials whose <b>highest level</b> of original classification authority is <b>CONFIDENTIAL</b> .	7.
8. Total number of officials with original classification authority. (Sum of blocks 5, 6, & 7)	8. 8
<b>PART C: Original Classification Decisions</b>	
Original classification is an initial determination that the information to be classified has not been previously classified by any other authority. It also meets the following conditions: (1) it was classified by an original classification authority; (2) the information is owned by or for, or is under the control of the United States Government; (3) it falls into at least one of the categories from section 1.4 of E.O. 13526; and (4) unauthorized disclosure could reasonably be expected to result in damage to the national security. (Provide information on all original classification decisions, regardless of the media, including those documented and disseminated via e-mail. Do not count reproductions or copies.)	
9. Enter the number of <b>original TOP SECRET</b> classification decisions made during the reporting period with <b>declassification instructions of 10 years or less</b> .	9. 0
10. Enter the number of <b>original TOP SECRET</b> classification decisions made during the reporting period with <b>declassification instructions ranging from over 10 years to 25 years</b> .	10. 0
11. Total number of <b>TOP SECRET</b> original classification decisions. (Sum of blocks 9 & 10).	11. 0
12. Enter the number of <b>original SECRET</b> classification decisions made during the reporting period with <b>declassification instructions of 10 years or less</b> .	12. 0
13. Enter the number of <b>original SECRET</b> classification decisions made during the reporting period with <b>declassification instructions ranging from over 10 years to 25 years</b> .	13. 0
14. Total number of <b>SECRET</b> original classification decisions. (Sum of blocks 12 & 13)	14. 0
15. Enter the number of <b>original CONFIDENTIAL</b> classification decisions made during the reporting period with <b>declassification instructions of 10 years or less</b> .	15. 0
16. Enter the number of <b>original CONFIDENTIAL</b> classification decisions made during the reporting period with <b>declassification instructions ranging from over 10 years to 25 years</b> .	16. 0
17. Total number of <b>CONFIDENTIAL</b> original classification decisions. (Sum of blocks 15 & 16)	17. 0
18. Total number of original classification decisions. (Sum of blocks 11, 14, & 17)	18. 0
<b>PART D: Derivative Classification Decisions</b>	
Derivative classification is the incorporating, paraphrasing, restating, or generating in new form information that is already classified. This includes classification based on classification guides or other source documents. (Provide information on all classification decisions, regardless of the media, including those documented and disseminated via e-mail. Do not count reproductions or copies.)	
19. Enter the number of <b>derivative TOP SECRET</b> classification decisions made during the reporting period.	19. 759
20. Enter the number of <b>derivative SECRET</b> classification decisions made during the reporting period.	20. 976
21. Enter the number of <b>derivative CONFIDENTIAL</b> classification decisions made during the reporting period.	21. 2
22. Total number of derivative classification decisions. (Sum of blocks 19, 20, & 21)	22. 1737

<b>PART E: Mandatory Declassification Review Requests and Appeals</b>		
A "Request" is an individual initial review request or appeal, regardless of the number of documents or pages to be reviewed as part of the request. <b>For blocks 23-30, report only requests and appeals in which your agency is responsible for the final release.</b>		
23. Enter the number of <b>requests</b> received during the reporting period.	23.	0
24. Enter the number of <b>requests</b> closed during the reporting period.	24.	0
25. Enter the number of <b>requests</b> that have been unresolved for over one year.	25.	0
26. Enter the <b>average number of days</b> to resolve each request.	26.	0
27. Enter the number of <b>appeals</b> received during the reporting period.	27.	0
28. Enter the number of <b>appeals</b> closed during the reporting period.	28.	0
29. Enter the number of <b>appeals</b> that have been unresolved for over one year.	29.	0
30. Enter the <b>average number of days</b> to resolve each appeal.	30.	0
<b>For blocks 31-32, report the number of requests and appeals that were referred to your agency, and the referring agency is responsible for the final release.</b>		
31. Enter the number of <b>referred requests</b> received during the reporting period.	31.	0
32. Enter the number of <b>referred appeals</b> received during the reporting period.	32.	0
<b>PART F: Mandatory Declassification Review Decisions in Pages</b> Count only those pages documented in blocks 23-30 above.		
33. Enter the number of <b>requested pages</b> that were declassified in full.	33.	0
34. Enter the number of <b>requested pages</b> that were declassified in part.	34.	0
35. Enter the number of <b>requested pages</b> that were <b>denied</b> declassification.	35.	0
36. Total number of <b>requested pages</b> acted on. (Sum of blocks 33, 34, & 35)	36.	0
37. Enter the number of <b>appealed pages</b> that were declassified in full.	37.	0
38. Enter the number of <b>appealed pages</b> that were declassified in part.	38.	0
39. Enter the number of <b>appealed pages</b> that were <b>denied</b> declassification.	39.	0
40. Total number of <b>appealed pages</b> acted on. (Sum of blocks 37, 38, & 39)	40.	0
<b>PART G: Automatic, Systematic, and Discretionary Declassification Reviews</b>		
41. Enter the number of pages <b>reviewed</b> that were subject to <b>automatic declassification</b> under section 3.3 of E.O. 13526.	41.	0
42. Enter the number of pages <b>declassified</b> under <b>automatic declassification</b> .	42.	0
43. Enter the number of pages <b>reviewed</b> that were subject to <b>systematic declassification</b> under section 3.4 of E.O. 13526.	43.	0
44. Enter the number of pages <b>declassified</b> under <b>systematic declassification</b> .	44.	0
45. Enter the number of pages <b>reviewed</b> that were subject to <b>discretionary declassification</b> under section 3.1 of E.O. 13526.	45.	0
46. Enter the number of pages <b>declassified</b> under <b>discretionary declassification</b> .	46.	0
<b>PART H: Internal Agency Oversight</b>		
47. Enter the number of <b>self-inspections conducted</b> by your agency, covering any aspect of the security classification program, during the reporting period.	47.	48
48. Enter the number of <b>challenges</b> processed by your agency to the classification of information believed to be <b>improperly classified or unclassified</b> . (E.O. 13526, section 1.8)	48.	0
49. Enter the number of <b>challenges</b> where the classification status was <b>fully affirmed</b> .	49.	0
50. Enter the number of <b>challenges</b> where the classification status was <b>overturned in whole or in part</b> .	50.	0
51. Enter the number of <b>security classification guides</b> created by your agency and <b>currently in use</b> .	51.	0



**PART I: Explanatory Comments**

*Use this space to elaborate on any section of this form. If more space is needed, provide as an attachment to this form. Provide explanations for any significant changes in trends/numbers from the previous year's report.*

In Fiscal Year 2012, the Federal Aviation Administration (FAA), Office of Emergency Operations, Communications and Investigations, Intelligence and Threat Analysis Division established and staffed a 24/7 Current Intelligence Threat Evaluation (CITE) operations center that has resulted in a significant increase in the derivative classification actions within DOT for FY 2012.



U.S. Department  
of Transportation

Office of the Secretary  
of Transportation

Assistant Secretary  
for Administration

1200 New Jersey Avenue, SE  
Washington, DC 20590

JAN 02 2014

Mr. John P. Fitzpatrick  
Director, Information Security Oversight Office  
National Archives and Records Administration  
700 Pennsylvania Avenue, N.W.  
Washington, DC 20408

Dear Mr. Fitzpatrick:

Enclosed is the complete Standard Form 311, Agency Security Classification Management Program Data, for the Department of Transportation for Fiscal Year 2013. Additional training was initiated in early 2013 addressing the proper requirements for tracking derivatively classified documents. This training increased the awareness throughout the Department of Transportation to ensure continuity and consistency in derivative accountability. Further, as directed by the Office of Inspector General during this year's Reducing Over- Classification audit, we switched to one of ISOO's recommended sampling techniques. This is an actual count of derivative actions for a two-month period multiplied by 6.5, to more closely approximate derivative activity for a full year. As a result, the increase in this 2013 report reflects greater accuracy in accountability and reporting than a genuine increase in derivatively classified items.

If you have any questions regarding this submission, please contact Joan Harris, Associate Director in the Office of Security, at 202-366-1827, or [Joan.Harris@dot.gov](mailto:Joan.Harris@dot.gov).

Sincerely,

  
Brodi Fontenot

Enclosure

# AGENCY SECURITY CLASSIFICATION MANAGEMENT PROGRAM DATA

(Submissions must be unclassified and reach the Information Security Oversight Office (ISOO) no later than November 15 following the reporting period.)

PART A: Identifying Information		
1. Enter the Fiscal Year that this report covers.	1. 2013	
2. Identify the Department, Independent agency, or Establishment that is covered by this report.	2. U.S. Department of Transportation	
3. Enter the name, title, address, phone, fax, and e-mail address of the Senior Agency Official (as defined in E.O. 13526, section 5.4(d)) responsible for this report.	3. Brodri Fontenot Assistant Secretary for Administration, MI 1200 New Jersey Ave SE WDC 20590/202-366-1400/Brodri.Fontenot@dod.gov	
4. Enter the name, title, phone, fax, and email address for the point-of-contact responsible for answering questions about this report.	4. Leo Widowski Office of Security, M401200 New Jersey Ave SE WDC / Leo.Widowski@dod.gov	
PART B: Officials with Original Classification Authority		
5. Enter the number of agency officials whose highest level of original classification authority is TOP SECRET.	5.	0
6. Enter the number of agency officials whose highest level of original classification authority is SECRET.	6.	8
7. Enter the number of agency officials whose highest level of original classification authority is CONFIDENTIAL.	7.	0
8. Total number of officials with original classification authority. (Sum of blocks 5, 6, & 7)	8.	8
PART C: Original Classification Decisions		
Original classification is an initial determination that the information to be classified has not been previously classified by any other authority. It also meets the following conditions: (1) it was classified by an original classification authority; (2) the information is owned by or for, or is under the control of the United States Government; (3) it falls into at least one of the categories from section 1.4 of E.O. 13526; and (4) unauthorized disclosure could reasonably be expected to result in damage to the national security. (Provide information on all original classification decisions, regardless of the media, including those documented and disseminated via email. Do not count reproductions or copies.)		
9. Enter the number of original TOP SECRET classification decisions made during the reporting period with declassification instructions of 10 years or less.	9.	0
10. Enter the number of original TOP SECRET classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.	10.	0
11. Total number of TOP SECRET original classification decisions. (Sum of blocks 9 & 10).	11.	0
12. Enter the number of original SECRET classification decisions made during the reporting period with declassification instructions of 10 years or less.	12.	0
13. Enter the number of original SECRET classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.	13.	1
14. Total number of SECRET original classification decisions. (Sum of blocks 12 & 13)	14.	1
15. Enter the number of original CONFIDENTIAL classification decisions made during the reporting period with declassification instructions of 10 years or less.	15.	0
16. Enter the number of original CONFIDENTIAL classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.	16.	0
17. Total number of CONFIDENTIAL original classification decisions. (Sum of blocks 15 & 16)	17.	0
18. Total number of original classification decisions. (Sum of blocks 11, 14, & 17)	18.	1
PART D: Derivative Classification Decisions		
Derivative classification is the incorporating, paraphrasing, restating, or generating in new form information that is already classified. This includes classification based on classification guides or other source documents. (Provide information on all classification decisions, regardless of the media, including those documented and disseminated via email. Do not count reproductions or copies.)		
19. Enter the number of derivative TOP SECRET classification decisions made during the reporting period.	19.	1,498
20. Enter the number of derivative SECRET classification decisions made during the reporting period.	20.	1,429
21. Enter the number of derivative CONFIDENTIAL classification decisions made during the reporting period.	21.	190
22. Total number of derivative classification decisions. (Sum of blocks 19, 20, & 21)	22.	3,117

**PART E: Mandatory Declassification Review Requests and Appeals**

A "Request" is an individual initial review request or appeal, regardless of the number of documents or pages to be reviewed as part of the request.

**Report only requests for your agency in which your agency is responsible for the final decision.**

23. Enter the number of <b>requests</b> received during the reporting period.	23.	0
24. Enter the number of <b>requests</b> closed during the reporting period.	24.	0
25. Enter the number of <b>requests</b> that have been unresolved for over one year.	25.	0
26. Enter the <b>average number of days</b> to resolve each request.	26.	0
27. Enter the number of <b>appeals</b> received during the reporting period.	27.	0
28. Enter the number of <b>appeals</b> closed during the reporting period.	28.	0
29. Enter the number of <b>appeals</b> that have been unresolved for over one year.	29.	0
30. Enter the <b>average number of days</b> to resolve each appeal.	30.	0

31. Enter the number of <b>referred requests</b> received during the reporting period.	31.	0
32. Enter the number of <b>referred appeals</b> received during the reporting period.	32.	0

**PART F: Mandatory Declassification Review Decisions in Pages**

33. Enter the number of <b>requested pages</b> that were declassified in full.	33.	0
34. Enter the number of <b>requested pages</b> that were declassified in part.	34.	0
35. Enter the number of <b>requested pages</b> that were <b>denied</b> declassification.	35.	0
36. Total number of <b>requested pages</b> acted on. (Sum of blocks 33, 34, & 35)	36.	0
37. Enter the number of <b>appealed pages</b> that were declassified in full.	37.	0
38. Enter the number of <b>appealed pages</b> that were declassified in part.	38.	0
39. Enter the number of <b>appealed pages</b> that were <b>denied</b> declassification.	39.	0
40. Total number of <b>appealed pages</b> acted on. (Sum of blocks 37, 38, & 39)	40.	0

**PART G: Automatic, Systematic, and Discretionary Declassification Reviews**

41. Enter the number of pages <b>reviewed</b> that were subject to <b>automatic declassification</b> under section 3.3 of E.O. 13526.	41.	0
42. Enter the number of pages <b>declassified</b> under <b>automatic declassification</b> .	42.	0
43. Enter the number of pages <b>reviewed</b> that were subject to <b>systematic declassification</b> under section 3.4 of E.O. 13526.	43.	0
44. Enter the number of pages <b>declassified</b> under <b>systematic declassification</b> .	44.	0
45. Enter the number of pages <b>reviewed</b> that were subject to <b>discretionary declassification</b> under section 3.1 of E.O. 13526.	45.	0
46. Enter the number of pages <b>declassified</b> under <b>discretionary declassification</b> .	46.	0

**PART H: Internal Agency Oversight**

47. Enter the number of <b>self-inspections</b> conducted by your agency, covering any aspect of the security classification program, during the reporting period.	47.	1
48. Enter the number of <b>challenges</b> processed by your agency to the classification of information believed to be <b>improperly classified or unclassified</b> . (E.O. 13526, section 1.8)	48.	0
49. Enter the number of <b>challenges</b> where the classification status was <b>fully affirmed</b> .	49.	0
50. Enter the number of <b>challenges</b> where the classification status was <b>overturned in whole or in part</b> .	50.	0
51. Enter the number of <b>security classification guides</b> created by your agency and <b>currently in use</b> .	51.	0

### PART I: Explanatory Comments

*Use this space to elaborate on any section of this form. If more space is needed, provide as an attachment to this form. Provide explanations for any significant changes in trends/numbers from the previous year's report.*

During 2013 the Department of Transportation Office of Inspector General conducted a department-wide review of DOT's classified management program under the Reducing Over-Classification Act, PL 111-258. In preparation for the audit the Department found that some components were counting derivative actions different from one another (e.g. some reported actual counts while others reported estimates). As directed during the 2013 audit, we selected one of the ISOO estimating methods and asked offices to follow that in order to achieve consistency. As a result FAA, which produces more derivative items than anywhere else in DOT simply because of their size, reported an increase in derivative activity for 2013 relative to the report for 2012. Further, we provided additional training to DOT staff who regularly produce derivative products to further enhance staff knowledge. These actions early in 2013 combined to produce a report this year that yielded higher figures that were reported in previous years.

#### ***For ISOO Use Only***

ISOO Analyst Name: Evan Coren  
Date of QC: 1/6/2014  
Analyst Initials: EPC




U.S. Department of  
Transportation  
Office of the Secretary  
of Transportation

# Memorandum

Subject: ACTION MEMO: Request to sign two ISOO reports

Date:

NOV 19 2014

From:   
Lou Widawski, Director  
Office of Security

Reply to:  
Attn. of

To: Brodi Fontenot, Assistant Secretary for Administration

## BACKGROUND

As the designated Senior Agency Official for DOT's Classified National Security Information program, your signature is required to transmit the two attached annual reports to the Information Security Oversight Office (ISOO). These reports were prepared to meet standards in Executive Order 13526 and contain consolidated data from all the DOT agencies including FAA.

There are a few changes this year as compared to the 2013 reports. The SF311, Agency Security Classification Management Program report shows a decrease of approximately 17% in the number of derivative actions taken by DOT in 2014 as compared to the number we reported to ISOO in 2013. The primary reason for this decrease is because FAA stopped producing their Travel Exception Reports which were previously classified as Secret and Confidential. This reduced the overall number of derivative actions that we are required to report to ISOO.

The Agency Annual Self-Inspection Report requires that we inform ISOO how many of our clearance holders met the annual training requirement during the reporting period. While DOT hit 100% this year, FAA reported they trained 97% of their clearance holders. This resulted in a combined figure of 98% completions for DOT overall in the report to ISOO.

## ACTION

Please sign the attached letter to Mr. Fitzpatrick that transmits to ISOO the Agency Annual Self-Inspection Program Data: FY 2014 as well as the Agency Security Classification Management Program Data report for Fiscal Year 2014.

Attachments (2)



**U.S. Department of  
Transportation**

Office of the Secretary  
of Transportation

Assistant Secretary  
For Administration

1200 New Jersey Ave, SE  
Washington D.C. 20590

Mr. John P. Fitzpatrick  
Director, Information Security Oversight Office  
National Archives and Records Administration  
700 Pennsylvania Avenue, N.W.  
Washington, DC 20408

Dear Mr. Fitzpatrick:

As the Senior Agency Official for the U.S. Department of Transportation, I am pleased to transmit to you two annual reports for 2014. Enclosed is the Department of Transportation completed Standard Form 311, Agency Security Classification Management Program Data for Fiscal Year 2014. The data in this year's report represent an actual count of derivative actions rather than an estimate as we have reported to you in the past.

Also enclosed is our completed Agency Annual Self-Inspection Program Data Report for Fiscal Year 2014. DOT's self-inspection program is conducted under my authority by the Director, Office of Security and at the Federal Aviation Administration under self-inspection authority we have delegated to them.

If you have any questions regarding this submission, please contact Joan Harris, Associate Director in the Office of Security, at 202-366-1827, or [Joan.Harris@dot.gov](mailto:Joan.Harris@dot.gov).

Sincerely,

A handwritten signature in black ink, appearing to read "Brodi Fontentot".

Brodi Fontentot

Enclosures (2)

# AGENCY SECURITY CLASSIFICATION MANAGEMENT PROGRAM DATA

(Submissions must be unclassified and reach the Information Security Oversight Office (ISOO) no later than November 15 following the reporting period.)

PART A: Identifying Information		
1. Enter the Fiscal Year that this report covers.	1. 2014	
2. Identify the Department, Independent agency, or Establishment that is covered by this report.	2. U.S. Department of Transportation	
3. Enter the name, title, address, phone, fax, and e-mail address of the Senior Agency Official (as defined in E.O. 13526, section 5.4(d)) responsible for this report.	3. Brodi Fontenot Assistant Secretary for Administration (M1) 1200 New Jersey Ave SE WDC 20590/202-366-1400 / Brodi.Fontenot@dot.gov	
4. Enter the name, title, phone, fax, and email address for the point-of-contact responsible for answering questions about this report.	4. Lou Widowski, Director, Office of Security (M40) 1200 New Jersey Ave SE WDC 20590 / 202-366-0919ph / 202-366-7013fax / Lou.Widowski@dot.gov	
PART B: Officials with Original Classification Authority		
5. Enter the number of agency officials whose highest level of original classification authority is TOP SECRET.	5.	0
6. Enter the number of agency officials whose highest level of original classification authority is SECRET.	6.	8
7. Enter the number of agency officials whose highest level of original classification authority is CONFIDENTIAL.	7.	0
8. Total number of officials with original classification authority. (Sum of blocks 5, 6, & 7)	8.	8
PART C: Original Classification Decisions		
Original classification is an initial determination that the information to be classified has not been previously classified by any other authority. It also meets the following conditions: (1) it was classified by an original classification authority; (2) the information is owned by or for, or is under the control of the United States Government; (3) it falls into at least one of the categories from section 1.4 of E.O. 13526; and (4) unauthorized disclosure could reasonably be expected to result in damage to the national security. (Provide information on all original classification decisions, regardless of the media, including those documented and disseminated via email. Do not count reproductions or copies.)		
9. Enter the number of original TOP SECRET classification decisions made during the reporting period with declassification instructions of 10 years or less.	9.	0
10. Enter the number of original TOP SECRET classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.	10.	0
11. Total number of TOP SECRET original classification decisions. (Sum of blocks 9 & 10).	11.	0
12. Enter the number of original SECRET classification decisions made during the reporting period with declassification instructions of 10 years or less.	12.	0
13. Enter the number of original SECRET classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.	13.	0
14. Total number of SECRET original classification decisions. (Sum of blocks 12 & 13)	14.	0
15. Enter the number of original CONFIDENTIAL classification decisions made during the reporting period with declassification instructions of 10 years or less.	15.	0
16. Enter the number of original CONFIDENTIAL classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.	16.	0
17. Total number of CONFIDENTIAL original classification decisions. (Sum of blocks 15 & 16)	17.	0
18. Total number of original classification decisions. (Sum of blocks 11, 14, & 17)	18.	0
PART D: Derivative Classification Decisions		
Derivative classification is the incorporating, paraphrasing, restating, or generating in new form information that is already classified. This includes classification based on classification guides or other source documents. (Provide information on all classification decisions, regardless of the media, including those documented and disseminated via email. Do not count reproductions or copies.)		
19. Enter the number of derivative TOP SECRET classification decisions made during the reporting period.	19.	1,604
20. Enter the number of derivative SECRET classification decisions made during the reporting period.	20.	947
21. Enter the number of derivative CONFIDENTIAL classification decisions made during the reporting period.	21.	35
22. Total number of derivative classification decisions. (Sum of blocks 19, 20, & 21)	22.	2,586



**PART E: Mandatory Declassification Review Requests and Appeals**

A "Request" is an individual initial review request or appeal, regardless of the number of documents or pages to be reviewed as part of the request.

**Report only requests for your agency in which your agency is responsible for the final decision.**

23. Enter the number of <b>requests</b> received during the reporting period.	23.	0
24. Enter the number of <b>requests</b> closed during the reporting period.	24.	0
25. Enter the number of <b>requests</b> that have been unresolved for over one year.	25.	0
26. Enter the <b>average number of days</b> to resolve each request.	26.	0
27. Enter the number of <b>appeals</b> received during the reporting period.	27.	0
28. Enter the number of <b>appeals</b> closed during the reporting period.	28.	0
29. Enter the number of <b>appeals</b> that have been unresolved for over one year.	29.	0
30. Enter the <b>average number of days</b> to resolve each appeal.	30.	0

31. Enter the number of <b>referred requests</b> received during the reporting period.	31.	0
32. Enter the number of <b>referred appeals</b> received during the reporting period.	32.	0

**PART F: Mandatory Declassification Review Decisions in Pages**

33. Enter the number of <b>requested pages</b> that were declassified in <b>full</b> .	33.	0
34. Enter the number of <b>requested pages</b> that were declassified in <b>part</b> .	34.	0
35. Enter the number of <b>requested pages</b> that were <b>denied</b> declassification.	35.	0
36. Total number of <b>requested pages</b> acted on. (Sum of blocks 33, 34, & 35)	36.	0
37. Enter the number of <b>appealed pages</b> that were declassified in <b>full</b> .	37.	0
38. Enter the number of <b>appealed pages</b> that were declassified in <b>part</b> .	38.	0
39. Enter the number of <b>appealed pages</b> that were <b>denied</b> declassification.	39.	0
40. Total number of <b>appealed pages</b> acted on. (Sum of blocks 37, 38, & 39)	40.	0

**PART G: Automatic, Systematic, and Discretionary Declassification Reviews**

41. Enter the number of pages <b>reviewed</b> that were subject to automatic declassification under section 3.3 of E.O. 13526.	41.	0
42. Enter the number of pages <b>declassified</b> under automatic declassification.	42.	0
43. Enter the number of pages <b>reviewed</b> that were subject to systematic declassification under section 3.4 of E.O. 13526.	43.	0
44. Enter the number of pages <b>declassified</b> under systematic declassification.	44.	0
45. Enter the number of pages <b>reviewed</b> that were subject to discretionary declassification under section 3.1 of E.O. 13526.	45.	0
46. Enter the number of pages <b>declassified</b> under discretionary declassification.	46.	0

**PART H: Internal Agency Oversight**

47. Enter the number of <b>self-inspections</b> conducted by your agency, covering any aspect of the security classification program, during the reporting period.	47.	1
48. Enter the number of <b>challenges</b> processed by your agency to the classification of information believed to be <b>improperly classified or unclassified</b> . (E.O. 13526, section 1.8)	48.	0
49. Enter the number of <b>challenges</b> where the classification status was <b>fully affirmed</b> .	49.	0
50. Enter the number of <b>challenges</b> where the classification status was <b>overturned in whole or in part</b> .	50.	0
51. Enter the number of <b>security classification guides</b> created by your agency and <b>currently in use</b> .	51.	0

### **PART I: Explanatory Comments**

*Use this space to elaborate on any section of this form. If more space is needed, provide as an attachment to this form. Provide explanations for any significant changes in trends/numbers from the previous year's report.*

Regarding questions no. 19 to 22: This report reflects a decrease of approximately 17% in the number of derivative classification actions taken in 2014 as compared to 2013. This change is mainly due to the fact that FAA is no longer producing Travel Exception Reports at the Secret and Confidential levels. In addition, in 2013 DOT and FAA used a sampling technique to estimate the number of derivative actions taken, but in 2014 we performed a 100% census. The change from estimated to actual numbers accounted for a very small portion of the change from last year's report to this year's report.

Regarding question no. 47: DOT understands that ISOO considers all the individual self-inspections which DOT performs on its components to constitute just one self-inspection for DOT. In fact during this reporting period FAA performed 55 individual inspections and DOT performed another 20 for the other DOT agencies and Secretarial Offices, and further, each of these were comprised of many separate visits, interviews and physical inspections. Nonetheless, we wrapped up all of this activity and reported just 1 self-inspection for DOT overall to comply with ISOO reporting requirements.

#### ***For ISOO Use Only***

ISOO Analyst Name: \_\_\_\_\_

Date of QC: \_\_\_\_\_

Analyst Initials: \_\_\_\_\_



**U.S. Department of  
Transportation**

Office of the Secretary  
of Transportation

Assistant Secretary  
For Administration

1200 New Jersey Ave, SE  
Washington D.C. 20590

NOV 20 2015

Mr. John P. Fitzpatrick  
Director, Information Security Oversight Office  
National Archives and Records Administration  
700 Pennsylvania Avenue N.W.  
Washington, DC 20408

Dear Mr. Fitzpatrick:

As the Senior Agency Official for the U.S. Department of Transportation, I am pleased to transmit to you this annual report for 2015. Enclosed is the Department of Transportation completed Standard Form 311, Agency Security Classification Management Program Data for Fiscal Year 2015.

If you have any questions regarding this submission, please contact Joan Harris, Associate Director in the Office of Security, at 202-366-1827, or [Joan.Harris@dot.gov](mailto:Joan.Harris@dot.gov).

Sincerely,

A handwritten signature in black ink, appearing to read "Jeff Marootian", with a stylized flourish at the end.

Jeff Marootian

Enclosure

# AGENCY SECURITY CLASSIFICATION MANAGEMENT PROGRAM DATA

(Submissions must be unclassified and reach the Information Security Oversight Office (ISOO) no later than November 15 following the reporting period.)

PART A: Identifying Information		
1. Enter the Fiscal Year that this report covers.	1.	2015
2. Identify the Department, Independent agency, or Establishment that is covered by this report.	2.	U.S. Department of Transportation
3. Enter the name and title of the Senior Agency Official (as defined in E.O. 13526, section 5.4(d)) responsible for this report.	3.	Jeff Marootian, Assistant Secretary for Administration
4. Enter the name, title, phone, and email address for the point-of-contact responsible for answering questions about this report.	4.	Lou Widawski, Director of Security (continued in Part 1)
PART B: Officials with Original Classification Authority		
5. Enter the number of agency officials whose highest level of original classification authority is TOP SECRET.	5.	0
6. Enter the number of agency officials whose highest level of original classification authority is SECRET.	6.	8
7. Enter the number of agency officials whose highest level of original classification authority is CONFIDENTIAL.	7.	0
8. Total number of officials with original classification authority. (Sum of blocks 5, 6, & 7)	8.	8
PART C: Original Classification Decisions		
Original classification is an initial determination that the information to be classified has not been previously classified by any other authority. It also meets the following conditions: (1) it was classified by an original classification authority; (2) the information is owned by or for, or is under the control of the United States Government; (3) it falls into at least one of the categories from section 1.4 of E.O. 13526; and (4) unauthorized disclosure could reasonably be expected to result in damage to the national security. (Provide information on all original classification decisions, regardless of the media, including those documented and disseminated via email. Do not count reproductions or copies.)		
9. Enter the number of original TOP SECRET classification decisions made during the reporting period with declassification instructions of 10 years or less.	9.	0
10. Enter the number of original TOP SECRET classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.	10.	0
11. Total number of TOP SECRET original classification decisions. (Sum of blocks 9 & 10).	11.	0
12. Enter the number of original SECRET classification decisions made during the reporting period with declassification instructions of 10 years or less.	12.	0
13. Enter the number of original SECRET classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.	13.	0
14. Total number of SECRET original classification decisions. (Sum of blocks 12 & 13)	14.	0
15. Enter the number of original CONFIDENTIAL classification decisions made during the reporting period with declassification instructions of 10 years or less.	15.	0
16. Enter the number of original CONFIDENTIAL classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.	16.	0
17. Total number of CONFIDENTIAL original classification decisions. (Sum of blocks 15 & 16)	17.	0
18. Total number of original classification decisions. (Sum of blocks 11, 14, & 17)	18.	0
PART D: Derivative Classification Decisions		
Derivative classification is the incorporating, paraphrasing, restating, or generating in new form information that is already classified. This includes classification based on classification guides or other source documents. (Provide information on all classification decisions, regardless of the media, including those documented and disseminated via email. Do not count reproductions or copies.)		
19. Enter the number of derivative TOP SECRET classification decisions made during the reporting period.	19.	1,325
20. Enter the number of derivative SECRET classification decisions made during the reporting period.	20.	1,829
21. Enter the number of derivative CONFIDENTIAL classification decisions made during the reporting period.	21.	98
22. Total number of derivative classification decisions. (Sum of blocks 19, 20, & 21)	22.	3,252

<b>PART E: Mandatory Declassification Review Requests and Appeals</b>		
A "Request" is an individual initial review request or appeal, regardless of the number of documents or pages to be reviewed as part of the request. <b>Report only requests for your agency in which your agency is responsible for the final decision.</b>		
23. Enter the number of <b>requests</b> received during the reporting period.	23.	0
24. Enter the number of <b>requests</b> closed during the reporting period.	24.	0
25. Enter the number of <b>requests</b> that have been unresolved for over one year.	25.	0
26. Enter the <b>average number of days</b> to resolve each request.	26.	0
27. Enter the number of <b>appeals</b> received during the reporting period.	27.	0
28. Enter the number of <b>appeals</b> closed during the reporting period.	28.	0
29. Enter the number of <b>appeals</b> that have been unresolved for over one year.	29.	0
30. Enter the <b>average number of days</b> to resolve each appeal.	30.	0
31. Enter the number of <b>referred requests</b> received during the reporting period.	31.	0
32. Enter the number of <b>referred appeals</b> received during the reporting period.	32.	0
<b>PART F: Mandatory Declassification Review Decisions in Pages</b>		
33. Enter the number of <b>requested pages</b> that were declassified in full.	33.	0
34. Enter the number of <b>requested pages</b> that were declassified in part.	34.	0
35. Enter the number of <b>requested pages</b> that were <b>denied</b> declassification.	35.	0
36. Total number of <b>requested pages</b> acted on. (Sum of blocks 33, 34, & 35)	36.	0
37. Enter the number of <b>appealed pages</b> that were declassified in full.	37.	0
38. Enter the number of <b>appealed pages</b> that were declassified in part.	38.	0
39. Enter the number of <b>appealed pages</b> that were <b>denied</b> declassification.	39.	0
40. Total number of <b>appealed pages</b> acted on. (Sum of blocks 37, 38, & 39)	40.	0
<b>PART G: Automatic, Systematic, and Discretionary Declassification Reviews</b>		
41. Enter the number of pages <b>reviewed</b> that were subject to <b>automatic declassification</b> under section 3.3 of E.O. 13526.	41.	0
42. Enter the number of pages <b>declassified</b> under <b>automatic declassification</b> .	42.	0
43. Enter the number of pages <b>reviewed</b> that were subject to <b>systematic declassification</b> under section 3.4 of E.O. 13526.	43.	0
44. Enter the number of pages <b>declassified</b> under <b>systematic declassification</b> .	44.	0
45. Enter the number of pages <b>reviewed</b> that were subject to <b>discretionary declassification</b> under section 3.1 of E.O. 13526.	45.	0
46. Enter the number of pages <b>declassified</b> under <b>discretionary declassification</b> .	46.	0
<b>PART H: Internal Agency Oversight</b>		
47. Enter the number of <b>challenges</b> processed by your agency to the classification of information believed to be <b>improperly classified or unclassified</b> . (E.O. 13526, section 1.8)	47.	0
48. Enter the number of <b>challenges</b> where the classification status was <b>fully affirmed</b> .	48.	0
49. Enter the number of <b>challenges</b> where the classification status was <b>overturned in whole or in part</b> .	49.	0

**PART I: Explanatory Comments**

*Use this space to elaborate on any section of this form. If more space is needed, provide as an attachment to this form. Provide explanations for any significant changes in trends/numbers from the previous year's report.*

Part A item 4 con't:

Lou.Widowski@dot.gov, Director of Security

Phone: 202-366-0919

Email: lou.widawski@dot.gov

**Part D, Derivative Classification Decisions**

There was an overall 20% increase in the number of derivative classification actions in FY15 as compared to FY2014. This overall figure represents increases in both Secret and Confidential actions, as well as a slight (17%) decrease in Top Secret derivative actions. The overall increase was the result of three additional personnel who were assigned to intelligence duties in FAA as well as an increase in requests for reports of FAA produced derivatively classified products for use by other government agencies.

***For ISOO Use Only***

ISOO Analyst Name: \_\_\_\_\_

Date of QC: \_\_\_\_\_

Analyst Initials: \_\_\_\_\_



U.S. Department of  
Transportation  
Office of the Secretary  
of Transportation

Assistant Secretary  
For Administration

1200 New Jersey Ave, SE  
Washington D.C. 20590

NOV 23 2016

Mr. William A. Cira  
Acting Director, Information Security Oversight Office  
National Archives and Records Administration  
700 Pennsylvania Avenue, N.W.  
Washington, DC 20408

Dear Mr. Cira:

As the Senior Agency Official for the U.S. Department of Transportation, I am pleased to transmit the annual report for 2016. Enclosed is the Department of Transportation completed Standard Form 311, Agency Security Classification Management Program Data for Fiscal Year 2016.

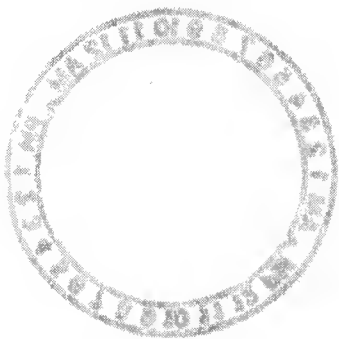
If you have any questions regarding this submission, please contact Joan Harris, Associate Director in the Office of Security, at 202-366-1827, or [Joan.Harris@dot.gov](mailto:Joan.Harris@dot.gov).

Sincerely,

Jeff Marootian  
Assistant Secretary for Administration

Enclosure







# AGENCY SECURITY CLASSIFICATION MANAGEMENT PROGRAM DATA

(Submissions must be unclassified and reach the Information Security Oversight Office (ISOO) no later than November 15 following the reporting period.)

PART A: Identifying Information		
1. Enter the Fiscal Year that this report covers.		1. 2016
2. Identify the Department, Independent agency, or Establishment that is covered by this report.	2. Department of Transportation	
3. Enter the name and title of the Senior Agency Official (as defined in E.O. 13526, section 5.4(d)) responsible for this report.	3. Jeff Marootian, Assistant Secretary for Administration	
4. Point-of-contact responsible for answering questions about this report:		
4a. Name:	4a. Lou Widawski	
4b. Title:	4b. Director of Security	
4c. Email address:	4c. Lou.Widawski@dot.gov	
4d. Phone number:	4d. (202) 366-0919	
PART B: Officials with Original Classification Authority		
5. Enter the number of agency officials whose highest level of original classification authority is TOP SECRET.	5.	0
6. Enter the number of agency officials whose highest level of original classification authority is SECRET.	6.	8
7. Enter the number of agency officials whose highest level of original classification authority is CONFIDENTIAL.	7.	0
8. Total number of officials with original classification authority. (Sum of blocks 5, 6, and 7)	8.	8
PART C: Original Classification Decisions		
Original classification is an initial determination that the information to be classified has not been previously classified by any other authority. It also meets the following conditions: (1) it was classified by an original classification authority; (2) the information is owned by or for, or is under the control of the United States Government; (3) it falls into at least one of the categories from section 1.4 of E.O. 13526; and (4) unauthorized disclosure could reasonably be expected to result in damage to the national security. (Provide information on all original classification decisions, regardless of the media, including those documented and disseminated via email. Do not count reproductions or copies.)		
9. Enter the number of original TOP SECRET classification decisions made during the reporting period with declassification instructions of 10 years or less.	9.	0
10. Enter the number of original TOP SECRET classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.	10.	0
11. Total number of TOP SECRET original classification decisions. (Sum of blocks 9 and 10)	11.	0
12. Enter the number of original SECRET classification decisions made during the reporting period with declassification instructions of 10 years or less.	12.	0
13. Enter the number of original SECRET classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.	13.	0
14. Total number of SECRET original classification decisions. (Sum of blocks 12 and 13)	14.	0
15. Enter the number of original CONFIDENTIAL classification decisions made during the reporting period with declassification instructions of 10 years or less.	15.	0
16. Enter the number of original CONFIDENTIAL classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.	16.	0
17. Total number of CONFIDENTIAL original classification decisions. (Sum of blocks 15 and 16)	17.	0
18. Total number of original classification decisions. (Sum of blocks 11, 14, and 17)	18.	0

Department of Transportation

PART D: Derivative Classification Decisions		
Derivative classification is the incorporating, paraphrasing, restating, or generating in new form information that is already classified. This includes classification based on classification guides or other source documents. (Provide information on all classification decisions, regardless of the media, including those documented and disseminated via email. Do not count reproductions or copies.)		
19. Enter the number of derivative TOP SECRET classification decisions made during the reporting period.	19.	1,570
20. Enter the number of derivative SECRET classification decisions made during the reporting period.	20.	1,240
21. Enter the number of derivative CONFIDENTIAL classification decisions made during the reporting period.	21.	81
22. Total number of derivative classification decisions. (Sum of blocks 19, 20, and 21)	22.	2,891
PART E: Mandatory Declassification Review Requests		
A "Request" is an individual initial review request, regardless of the number of documents or pages to be reviewed as part of the request. Report only requests for your agency in which your agency is responsible for the final decision.		
23. Enter the number of REQUESTS received during the reporting period.	23.	0
24. Enter the number of REQUESTS closed during the reporting period.	24.	0
25. Of the REQUESTS entered into block 24, enter the number of pages that were:	25.	
a. Declassified in full.	25a.	0
b. Declassified in part.	25b.	0
c. Denied declassification.	25c.	
d. Total number of requested pages acted on. (Sum of blocks a, b, and c)	25d.	0
26. Enter the number of REQUESTS that have been unresolved for over one year.	26.	0
27. Enter the AVERAGE NUMBER OF DAYS to resolve each request.	27.	0
28. Enter the number of REFERRED REQUESTS received during the reporting period. (Number of requests referred to your agency from another agency)	28.	0
PART F: Mandatory Declassification Review Appeals		
An "Appeal" is an individual request for appeal, regardless of the number of documents or pages to be reviewed as part of the request. Report only appeals for your agency in which your agency is responsible for the final decision.		
29. Enter the number of APPEALS received during the reporting period.	29.	0
30. Enter the number of APPEALS closed during the reporting period.	30.	0
31. Of the APPEALS entered into block 30, enter the number of pages that were:	31.	
a. Declassified in full.	31a.	0
b. Declassified in part.	31b.	0
c. Denied declassification.	31c.	0
d. Total number of appealed pages acted on. (Sum of blocks a, b, and c)	31d.	0
32. Enter the number of APPEALS that have been unresolved for over one year.	32.	0
33. Enter the AVERAGE NUMBER OF DAYS to resolve each appeal.	33.	0
34. Enter the number of REFERRED APPEALS received during the reporting period. (Number of appeals referred to your agency from another agency)	34.	0

Department of Transportation

<b>PART G: Automatic, Systematic, and Discretionary Declassification Reviews</b>		
35. Enter the number of pages REVIEWED that were subject to automatic declassification under section 3.3 of E.O. 13526.	35.	0
36. Enter the number of pages DECLASSIFIED under automatic declassification.	36.	0
37. Enter the number of pages REVIEWED that were subject to systematic declassification under section 3.4 of E.O. 13526.	37.	0
38. Enter the number of pages DECLASSIFIED under systematic declassification.	38.	0
39. Enter the number of pages REVIEWED that were subject to discretionary declassification under section 3.1 of E.O. 13526.	39.	0
40. Enter the number of pages DECLASSIFIED under discretionary declassification.	40.	0
<b>PART H: Internal Agency Oversight</b>		
41. Enter the number of CHALLENGES processed by your agency to the classification of information believed to be improperly classified or unclassified. (E.O. 13526, section 1.8)	41.	0
42. Enter the number of CHALLENGES where the classification status was fully affirmed.	42.	0
43. Enter the number of CHALLENGES where the classification status was overturned in whole or in part.	43.	0
<b>PART I: Intelligence Community (IC) Information</b>		
This section applies only to IC agencies and IC components of other agencies who originally apply the ORCON and ORCON-USGOV dissemination control. This information, along with ISOO's annual inspection reports will be used to inform the annual report to the DNI on the use of classification markings.		
Organization's classified disseminated analytic product (as defined in ICD 206 Sourcing Requirements for Disseminated Analytic Product) originally marked ORCON.		
44. Enter PERCENTAGE of your organization's classified disseminated analytic products originally marked ORCON.	44.	0.00%
45. Enter TOTAL NUMBER of your organization's classified disseminated analytic products originally marked ORCON.	45.	0
46. Enter the NUMBER OF REQUESTS approved for expanded dissemination of ORCON in full.	46.	0
47. Enter the NUMBER OF REQUESTS approved for expanded dissemination of ORCON in part. Provide explanation for partial denial in part J below.	47.	0
48. Enter the number of ORCON expanded dissemination requests DENIED. Provide explanation for denial in part J below.	48.	0
Organization's classified disseminated analytic product (as defined in ICD 206 Sourcing Requirements for Disseminated Analytic Product) originally marked ORCON-USGOV.		
49. Enter PERCENTAGE of your organization's analytic products originally marked ORCON-USGOV.	49.	0.00%
50. Enter TOTAL NUMBER of your organization's analytic products originally marked ORCON-USGOV.	50.	0
51. Provide TOTAL NUMBER of reports of potential misapplication of the ORCON marking. Provide background information on each occurrence in Part J below.	51.	0
52. Has your organization been NEGATIVELY IMPACTED by information being marked with ORCON or ORCON-USGOV control marking? If yes, provide explanation in Part J below.	52.	No

Department of Transportation

**PART J: Explanatory Comments**

*Use this space to elaborate on any section of this form. If more space is needed, provide as an attachment to this form. Provide explanations for any significant changes in trends/numbers from the previous year's report.*

DOT and FAA data are included in this report. The DOT data reflect an actual count, compiled from daily creation entries. FAA data were derived from an 8-week sample that was multiplied by 6.5. Derivative materials in this count include Daily Intelligence Summaries, Executive Intel Briefs, Intel Flyers, CITE Watch Notes, Security Briefs (Travel) and emails. Some variations were noted in the number of Top Secret, Secret and Confidential actions from FY 2015 to FY2016, resulting in a decrease of about 10% overall in the reported total this year. Investigation of these variations yielded no result, as there were no changes in procedure during this reporting period. We conclude the variations from one year to the next are the result of the 8-week sample period selected at FAA.



**U.S. Department of  
Transportation**

Office of the Secretary  
of Transportation

Assistant Secretary  
for Administration

1200 New Jersey Avenue, SE  
Washington, DC 20590

Mr. Mark A. Bradley  
Director, Information Security Oversight Office  
National Archives and Records Administration  
700 Pennsylvania Avenue, N.W., Room 100  
Washington, DC 20408-0001

NOV 01 2017

Dear Mr. Bradley,

As the Senior Agency Official for the U.S. Department of Transportation, I am pleased to transmit to you the FY 2017 Agency Classification Management Program Data. Enclosed is the completed Standard Form 311.

If you have any questions regarding this submission, please contact Keith Szakal, Acting Director, Office of Security, at (202)366-9422 or [Keith.Szakal@dot.gov](mailto:Keith.Szakal@dot.gov).

Sincerely,

A handwritten signature in black ink, appearing to read 'Keith Nelson', written over a horizontal line.

Keith Nelson

Enclosure

# AGENCY SECURITY CLASSIFICATION MANAGEMENT PROGRAM DATA

(Submissions must be unclassified and reach the Information Security Oversight Office (ISOO) no later than November 15 following the reporting period.)

PART A: Identifying Information		
1. Enter the Fiscal Year that this report covers.		1. 2017
2. Identify the Department, Independent agency, or Establishment that is covered by this report.	2. DOT: Department of Transportation	
3. Enter the name and title of the Senior Agency Official (as defined in E.O. 13526, section 5.4(d)) responsible for this report.	3. Keith Nelson, Assistant Secretary for Administration	
4. Point-of-contact responsible for answering questions about this report:		
4a. Name:	4a. Keith Szakal	
4b. Title:	4b. Acting Director of Security	
4c. Email address:	4c. Keith.Szakal@dot.gov	
4d. Phone number:	4d. (202) 366-9422	
PART B: Officials with Original Classification Authority		
5. Enter the number of agency officials whose highest level of original classification authority is TOP SECRET.	5.	0
6. Enter the number of agency officials whose highest level of original classification authority is SECRET.	6.	8
7. Enter the number of agency officials whose highest level of original classification authority is CONFIDENTIAL.	7.	0
8. Total number of officials with original classification authority. (Sum of blocks 5, 6, and 7)	8.	8
PART C: Original Classification Decisions		
Original classification is an initial determination that the information to be classified has not been previously classified by any other authority. It also meets the following conditions: (1) it was classified by an original classification authority; (2) the information is owned by or for, or is under the control of the United States Government; (3) it falls into at least one of the categories from section 1.4 of E.O. 13526; and (4) unauthorized disclosure could reasonably be expected to result in damage to the national security. (Provide information on all original classification decisions, regardless of the media, including those documented and disseminated via email. Do not count reproductions or copies.)		
9. Enter the number of original TOP SECRET classification decisions made during the reporting period with declassification instructions of 10 years or less.	9.	0
10. Enter the number of original TOP SECRET classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.	10.	0
11. Total number of TOP SECRET original classification decisions. (Sum of blocks 9 and 10)	11.	0
12. Enter the number of original SECRET classification decisions made during the reporting period with declassification instructions of 10 years or less.	12.	0
13. Enter the number of original SECRET classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.	13.	0
14. Total number of SECRET original classification decisions. (Sum of blocks 12 and 13)	14.	0
15. Enter the number of original CONFIDENTIAL classification decisions made during the reporting period with declassification instructions of 10 years or less.	15.	0
16. Enter the number of original CONFIDENTIAL classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.	16.	0
17. Total number of CONFIDENTIAL original classification decisions. (Sum of blocks 15 and 16)	17.	0
18. Total number of original classification decisions. (Sum of blocks 11, 14, and 17)	18.	0

<b>PART D: Derivative Classification Decisions</b>		
Derivative classification is the incorporating, paraphrasing, restating, or generating in new form information that is already classified. This includes classification based on classification guides or other source documents. (Provide information on all classification decisions, regardless of the media, including those documented and disseminated via email. Do not count reproductions or copies.)		
19. Enter the number of derivative <b>TOP SECRET</b> classification decisions made during the reporting period.	19.	1,712
20. Enter the number of derivative <b>SECRET</b> classification decisions made during the reporting period.	20.	2,158
21. Enter the number of derivative <b>CONFIDENTIAL</b> classification decisions made during the reporting period.	21.	193
22. Total number of derivative classification decisions. (Sum of blocks 19, 20, and 21)	22.	4,063
<b>PART E: Mandatory Declassification Review Requests</b>		
A "Request" is an individual initial review request, regardless of the number of documents or pages to be reviewed as part of the request. Report only requests for your agency in which your agency is responsible for the final decision.		
23. Enter the number of <b>REQUESTS</b> received during the reporting period.	23.	0
24. Enter the number of <b>REQUESTS</b> closed during the reporting period.	24.	0
25. Of the <b>REQUESTS</b> entered into block 24, enter the number of pages that were:	25.	
a. Declassified in full.	25a.	0
b. Declassified in part.	25b.	0
c. Denied declassification.	25c.	0
d. Total number of requested pages acted on. (Sum of blocks a, b, and c)	25d.	0
26. Enter the number of <b>REQUESTS</b> that have been unresolved for over one year.	26.	0
27. Enter the <b>AVERAGE NUMBER OF DAYS</b> to resolve each request.	27.	0
28. Enter the number of <b>REFERRED REQUESTS</b> received during the reporting period. (Number of requests referred to your agency from another agency)	28.	0
<b>PART F: Mandatory Declassification Review Appeals</b>		
An "Appeal" is an individual request for appeal, regardless of the number of documents or pages to be reviewed as part of the request. Report only appeals for your agency in which your agency is responsible for the final decision.		
29. Enter the number of <b>APPEALS</b> received during the reporting period.	29.	0
30. Enter the number of <b>APPEALS</b> closed during the reporting period.	30.	0
31. Of the <b>APPEALS</b> entered into block 30, enter the number of pages that were:	31.	
a. Declassified in full.	31a.	0
b. Declassified in part.	31b.	0
c. Denied declassification.	31c.	0
d. Total number of appealed pages acted on. (Sum of blocks a, b, and c)	31d.	0
32. Enter the number of <b>APPEALS</b> that have been unresolved for over one year.	32.	0
33. Enter the <b>AVERAGE NUMBER OF DAYS</b> to resolve each appeal.	33.	0
34. Enter the number of <b>REFERRED APPEALS</b> received during the reporting period. (Number of appeals referred to your agency from another agency)	34.	0

DOT: Department of Transportation

PART G: Automatic, Systematic, and Discretionary Declassification Reviews		
35. Enter the number of pages <b>REVIEWED</b> that were subject to automatic declassification under section 3.3 of E.O. 13526.	35.	0
36. Enter the number of pages <b>DECLASSIFIED</b> under automatic declassification.	36.	0
37. Enter the number of pages <b>REVIEWED</b> that were subject to systematic declassification under section 3.4 of E.O. 13526.	37.	0
38. Enter the number of pages <b>DECLASSIFIED</b> under systematic declassification.	38.	0
39. Enter the number of pages <b>REVIEWED</b> that were subject to discretionary declassification under section 3.1 of E.O. 13526.	39.	0
40. Enter the number of pages <b>DECLASSIFIED</b> under discretionary declassification.	40.	0
PART H: Internal Agency Oversight		
41. Enter the number of <b>CHALLENGES</b> processed by your agency to the classification of information believed to be <b>improperly classified or unclassified</b> . (E.O. 13526, section 1.8)	41.	0
42. Enter the number of <b>CHALLENGES</b> where the classification status was fully affirmed.	42.	0
43. Enter the number of <b>CHALLENGES</b> where the classification status was overturned in whole or in part.	43.	0
PART I: Intelligence Community (IC) Information		
This section applies only to IC agencies and IC components of other agencies who <i>originally apply</i> the ORCON and ORCON-USGOV dissemination control. This information, along with ISOO's annual inspection reports will be used to inform the annual report to the DNI on the use of classification markings.		
<b>Organization's classified disseminated analytic product (as defined in ICD 206 Sourcing Requirements for Disseminated Analytic Product) originally marked ORCON.</b>		
44. Enter <b>PERCENTAGE</b> of your organization's classified disseminated analytic products originally marked <b>ORCON</b> .	44.	0.00%
45. Enter <b>TOTAL NUMBER</b> of your organization's classified disseminated analytic products originally marked <b>ORCON</b> .	45.	0
46. Enter the <b>NUMBER OF REQUESTS</b> approved for expanded dissemination of ORCON in full.	46.	0
47. Enter the <b>NUMBER OF REQUESTS</b> approved for expanded dissemination of ORCON in part. Provide explanation for partial denial in part J below.	47.	0
48. Enter the number of ORCON expanded dissemination requests <b>DENIED</b> . Provide explanation for denial in part J below.	48.	0
<b>Organization's classified disseminated analytic product (as defined in ICD 206 Sourcing Requirements for Disseminated Analytic Product) originally marked ORCON-USGOV.</b>		
49. Enter <b>PERCENTAGE</b> of your organization's analytic products originally marked <b>ORCON-USGOV</b> .	49.	0.00%
50. Enter <b>TOTAL NUMBER</b> of your organization's analytic products originally marked <b>ORCON-USGOV</b> .	50.	0
51. Provide <b>TOTAL NUMBER</b> of reports of potential misapplication of the ORCON marking. Provide background information on each occurrence in Part J below.	51.	0
52. Has your organization been <b>NEGATIVELY IMPACTED</b> by information being marked with ORCON or ORCON-USGOV control marking? If yes, provide explanation in Part J below.	52.	N/A



DOT: Department of Transportation

**PART J: Explanatory Comments**

*Use this space to elaborate on any section of this form. If more space is needed, provide as an attachment to this form. Provide explanations for any significant changes in trends/numbers from the previous year's report.*

The totals for lines 19, 20, 21, and 22 include a combination of actual derivative decisions and estimated derivative decisions. The Federal Aviation Administration (FAA) used an 8-week time frame to conduct a sampling and multiplied by 6.5. The rest of the counted decisions made by the Department of Transportation (DOT) represent actual counts of derivative decisions. FAA made an estimated 1,637 TOP SECRET derivative decisions, an estimated 2,099 SECRET derivative decisions, and an estimated 193 CONFIDENTIAL derivative decisions. The remainder of DOT made a combined 75 TOP SECRET derivative decisions, 59 SECRET derivative decisions, and 0 CONFIDENTIAL derivative decisions. Documents used to account for the above totals include Daily Intelligence Summaries, Executive Intelligence Briefs, Intelligence Fliers, CITE Watch Notes, Travel Security Briefings, and emails.

There was an approximate 41% increase in derivative decisions made in FY17 compared to FY16. The increase is based on an increase in intelligence analyst staff and an increase in the number of security briefings created for aviation partners.